1 of 3

STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Purchases

Command:	Division: MORTHER	Number:
Evaluated by: MARLA AND	ERSON	Pate: 9/29/08
Assisted by:		Date:

TYPE OF INSPECTION	Lead Insp	ector's Signati	ure:		, with
Division Level Command Level		Mad	lu a	Parlers	α
☐ Executive Office Level ☐ Voluntary Self-Inspection	11 11				
Follow-up Required: Yes No Follow-up Inspection	Commander's Signature: Date On Follow 9				Date: 9/29/08
For applicable policy, refer to: HPM 11.2, Chapter 7					20 E
 Are participants in the procurement process at the command level familiar with the related policies and procedures for purchasing? 	Yes	□No	□ N/A	Remarks:	AU I
Have Approvers/reviewers of purchases received procurement training?	Yes	□No	□ N/A	Remarks:	and the second
3. Are prohibited items procured on CHP 43, Purchases Requisitions?	☐ Yes	⊠ No	□ N/A	Remarks:	
 Supplies for personally – owned equipment Commodities for personal use Confirming order Purchases via the internet 			,	¥	
4. Are separate CHP 43s, Purchase Requisitions, prepared for commodity items obtainable from different suppliers or from different statewide commodity contracts?	Yes	□No	□ N/A	Remarks	
Is all required information entered on the CHP 43, Purchase Requisition?	Yes	□No	□ N/A	Remarks:	
6. Are the CHP 43, Purchase Requisitions, numbered	Yes	□No	□ N/A	Remarks:	*
7. Are expedited requests for the purchase of goods forwarded to the Assistant Commissioner, Staff, for approval?	Yes .	□No	N/A	Remarks:	\ \

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Purchases

Do specialized items purchased contain the appropriate Division, and/or OPI approvals?	Yes	□No	□ N/A	Remarks:
9. Are the CHP 43, Purchase Requisitions, competitively bid?	X Yes	□No	□ N/A	Remarks:
10. Does the CHP 315, Price Comparison Worksheet, document at least two price quotations?	Yes	□No	□ N/A	Remarks:
11. Are Limited Competitive Bidding purchase requests that limit or restrict the purchase to one specific brand or model justified and in compliance with SAM 3555?	Yes	□No	□ N/A	Remarks:
12. Are Limited Competitive Bidding purchase requests for items that interface with existing departmental equipment in compliance with SAM 3555.3?	Yes	□No	□ N/A	Remarks:
13. Do Non-Competitive Bid (NCB) purchase requests contain the NCB justification and NCB Corrective Action Plan documents?	Yes	□ No	□ N/A	Remarks:
14. Are items checked immediately for content and damage when delivered?	Yes	□No	□ N/A	Remarks:
15. Is the "received copy" of the purchase order approved, dated, and forwarded to the Fiscal Management Section (FMS), Account Payable Unit, within three business days of receipt, if all items are accepted?	Yes	□No	□ N/A	Remarks:
16. Are freight and/or packing slips attached to the received copy of the purchase order and sent to FMS?	Yes	∏ No	□ N/A	Remarks:
17. Is FMS provided a photocopy of the purchase order and any approved freight or packing slips as acknowledgement that a portion of the order has been received?	Yes	□ No	□ N/A	Remarks:
18. Is the original "received copy" retained by the command for completion and forwarding to the FMS when the complete shipment is received?	Yes	□No	□ N/A	Remarks:
19. Are <u>Damaged items</u> delivered by common carrier acknowledged on the freight bill by the carrier's driver before being accepted?	Y Yes	□No	□ N/A	Remarks:

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Purchases

20. Is Purchasing Services Unit immediately by telephone, f by a memorandum or e-ma of the requisition or deletion determined that a commodi is no longer needed and a pyet been prepared?	followed in writing either il, requesting cancellation of an item, if it is ty requested on a CHP 43	Yes	□ No	□ N/A	Remarks:
21. Are open purchase orders properties investigated to ensure the open an unreasonable length of ti	rders are not opened for	Yes Yes	□ No	□ N/A	Remarks:
22. Are copies of the purchase orders maintained for three (SCM Vol. II, Ch. 11, Topic	years after payment?	Yes Yes	□No	□ N/A	Remarks:
23. Are decisions documented to documenting the basis of the purchase? (SCM Vol II Ch. 2	e decisions made for the	Yes	□ No	□ N/A	Remarks:
24. Are purchase orders split to bidding requirements or to c Department's delegated pur (Public Contracts Code Sections)	ircumvent the chase authority limits?	☐ Yes	™ No	□ N/A	Remarks:

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Cal-Card Program

Command:	Division: NORTHERN	Number:
Evaluated by:	BERSON	Date: 9/29/08
Assisted by:		Daté:

1	TYPE C	FINSPECTION	Lead Insp	ector's Signat	ure:			
		sion Level Command Level	-	Marla	12.a	mle.		
☐ Executive Office Level ☐ Voluntary Self-Inspection			1111					
Follow-up Required:			Command	er's Signature	lan	9/29/08		
	For ap	plicable policy, refer to: HPM 11.2, Chapter 3			<u> </u>	2 L 30		
		Are all employees associated with the use of the Cal- Card program completing the CHP 78S, Conflict of Interest Statement, Employee, form?	Yes	□No	□ N/A	Remarks:		
	2.	Are STD. 21 Drug Free Workplace certifications maintained within the Cal Card command file for each vendor utilized?	Yes	□No	□ N/A	Remarks: Abun File		
	3.	Are STD. 204 Payee Data Record forms maintained in the Cal Card command file for each vendor utilized?	Yes	□No	□ N/A	Remarks: AANIN FILE		
	4.	Are California Integrated Waste Management Board Form 74 documents maintained for each vendor utilized?	Yes	□No	□ N/A	Remarks: RECYCLE FORM		
	5 .	If the vendor is a small business or DVBE is utilized, is the certification letter from the Department of General Services maintained in the file?	X. Yes	□No	□ N/A	Remarks:		
	6.	When fair and reasonable is utilized, is the fair and reasonable method documented and properly justified?	Yes	□No	□ N/A	Remarks:		
	7.	Are purchases split into multiple transactions in order to circumvent transaction purchase limits?	Yes	XNo	□ N/A	Remarks:		
		Does the CHP 317 Cal Card Log fully describe the purchase?	Yes	□No	□ N/A	Remarks:		
	9.	Are bank statements reconciled with the CHP 317 Cal Card Log and the receipts/invoices?	Yes	□No	□ N/A	Remarks:		

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Cal-Card Program

10. Is the CHP 317 Cal Card Log properly authorized and maintained?	Yes	□No	□ N/A	Remarks:
Are credit invoices/receipts for returned items maintained with the bank statement?	Yes Yes	□No	□ N/A	Remarks:
12. Do non-itemized purchase receipts/invoices document the purchase by listing the commodity, quantity, and unit price of the item(s) purchased on the bank statement.	Yes	□ No	□ N/A	Remarks:
13. Are Cal Cards maintained in a secure area?	Yes	□No	□ N/A	Remarks: CASH BOX
14. Are Cal Card purchases pre-approved by the commander?	Yes	□ ⁻ No	□ N/A	Remarks:
15. Have all cardholders received training on the Department's procurement processes?	Yes	□No	□ N/A	Remarks:
16. Are item(s) purchased with the Cal Card prohibited by departmental policy?	□Yes	⊠ No	□ N/A	Remarks:

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STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements X-Number Program

Command:	Division:	Number:
Evaluated by: SGT JERRY	GILLESPLE	9-25-08
Assisted by:		Date:

TYPE OF INSPECTION		I ead Inend	ector's Signatu	106-7		
	ammand Laural	Lead Hope	octor a digitate	1/		
Division Level	ommand Level	1	0 _	X , 0	1	_
☐ Executive Office Level ☐ V	oluntary Self-Inspection	41	#7	<i>}\</i>	ug.	, , ,
Follow-up Required:	Follow-up Inspection	Command	of's Signature			Date:
Yes X No	8 10	ils	1 /010	m		9/29/08
For applicable policy, refer to: HP	M 11.1, Chapter 23					8 1 0
Are multiple X Numbers award to circumvent the \$4,999 cont		☐ Yes	⊠ No	□ N/A	Remarks:	
Does all X Number file docum STD. 204 Payee Data Record		Yes	☐ No	□ N/A	Remarks:	0 15 158 51 20
Do X Numbers requiring a corling landscaping) have prior approservices Section commander.	val from the Business	Yes	□No	□ N/A	Remarks:	
Are X Number requests made services are performed?	prior to the date the	¥ Yes	□No	□ N/A	Remarks:	
5. Are X Numbers issued for a o	ne-time use?	⊠ Yes	□No	□ N/A	Remarks:	
6. Are prohibited services perform Number?	med using an X	Yes	X No	□ N/A	Remarks:	
Are X Numbers used for the p service and not the purchase of the purchase		X Yes	□No	□ N/A	Remarks:	
Are X Numbers issued for tele related services pre-approved Telecommunications Section?	by	Yes	□No	□ N/A	Remarks:	2)
 Do X Numbers used for faciliti (such as roof repair, electrical) have prior approval from Facil 	costing over \$1,000	Yes Yes	□No	□ N/A	Remarks:	
10. Do X Numbers issued for laps agreements have prior approv Assistant Commissioner?		X Yes	· No	⊡ N/A	Remarks:	

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STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements X-Number Program

11. Do all X Numbers awarded to a non-small business vendor contain three price quotations?	Yes	☐ No	□ N/A	Remarks:
12. Do all X Numbers awarded to a small business vendor contain the small business certification from the Department of General Services (DGS)?	Yes	□No	□ N/A	Remarks:
13. Does the file documentation contain the STD. 21 Drug Free workplace certification for X Number vendors?	Yes	□No	□ N/A	Remarks:
14. Do emergency service X Numbers document and justify the emergency?	Yes	□No	□ N/A	Remarks:
15. Is the itemized invoice for each X Number service maintained in the command's files?	X Yes	☐ No	□ N/A	Remarks:

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Contracts

Command:	Division:	Number:
Evaluated by: SGT. JERRY	GNUESNE	Date: 9-25-08
Assisted by:	× 9	Date:

TYPE OF	FINSPECTION		Lead Inspe	ector's Signati	ure://	
Divi:	sion Level Command Lev	el	1	,	1:0	0 -
☐ Exe	cutive Office Level	nspection	7	7		Just 1
Fol	llow-up Required: ☐ Follow-up In	spection	Command	er's Signature	den	Date: 9/29/08
For ap	plicable policy, refer to: HPM 11.1, Cha	pter 22	2011	/ was		
	Is a CHP 78 Contract Request used to initial service contracts which are repetitive, regard the estimated dollar value?		Yes	□No	□ N/A	Remarks:
2.	Is a CHP 78 Contract Request used for one services exceeding \$4,999.99?	e-time	☐ Yes	□No	⊠√N/A	Remarks:
	Is the Office of Primary Interest (OPI) trackinumbering beginning with the requesting cothree-digit location code used, followed by "contract payable listed on the CHP 78?	mmand	Yes	□No	□ N/A	Remarks:
	Is the performance of contract services mor and documented?	nitored	Yes	□No	□ N/A	Remarks:
	Are all copies of correspondence with the vonaintained?	endor	Yes	□No	□ N/A	Remarks:
	Are letters for contracts documented and m which outline any problems related to substract non-performance of the vendor?		Yes	□No	□ N/A	Remarks:
	Is the final product to be delivered described specifically and in as much detail as possibl CHP 78?		Yes	□No	□ N/A	Remarks:
i :	Are all required levels of approval/signature including the required documentation and all for expedite and emergency contracts per H Chapter 22, before forwarding the CHP 78 of 78A?	oprovals PM 11.1,	Yes	□ No	□ N/A	Remarks:

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

9. Are requests for contract services less than six months from the anticipated start date of the contract pre-approved by Assistant Commissioner, Staff, for expedited processing?	Yes	☐ No	□ N/A	Remarks:
Is all work completed and accepted by the Department before expiration of contract agreement?	Yes	□No	□ N/A	Remarks:
11. Are contract services performed according to the quality, quantity, objectives, timeframes, and in the manner specified in the contract (e.g., review progress reports and interim products)?	Yes	□No	□ N/A	Remarks:
12. Are invoices for payment reviewed and approved to substantiate expenditures for work performed and to prevent penalties being assessed?	Yes	□No	□ N/A	Remarks:
13. Are contract expenditures monitored to ensure there are <u>sufficient funds</u> to pay for all services rendered as required by contract?	Yes	□No	□ N/A	Remarks:
14. Does the requestor verify the contractor has fulfilled all requirements of the contract before approving the final invoice?	Yes	□ No	□ N/A	Remarks:
15. Is the final invoice identified and approved, as appropriate and forwarded to Fiscal Management Section for payment?	Yes	□No	□ N/A	Remarks:
16. Are all applicable form sections of the CHP 78 completed?	Yes	☐ No	□ N/A	Remarks:
17. Do emergency contracts document and justify a sudden, unexpected occurrence that poses a clear and imminent danger, requiring immediate action to mitigate the loss or impairment of life, health, property, or essential public services?	Yes	□No	□ N/A	Remarks:
18. Are all employees associated with the management of a contract completing the CHP 78S, Conflict of Interest Statement, Employee, form?	Yes	□ No	□ N/A	Remarks:
19. Are problems concerning the contractor's performance fully documented in writing and made a part of the contract manager's contract file?	Yes	☐ No	□ N/A	Remarks:
20. Are contract amendment request dollar amounts increased more than 30%?	□Yes	▼ No	□ N/A	Remarks:

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

21	. Is the length of the contract amendment request more than one year?	Yes	XN₀	□ N/A	Remarks:
22	. Are amendments requested before the expiration of the original contract?	Yes	☐ No	□ N/A	Remarks:
23	. Is a service contract on a CHP 78, Contract Request initiated for any commercial meeting/conference room rental which is expected to exceed \$4,999.99 in total cost?	☐ Yes	□ No	Ì X N/A	Remarks:
24.	Do conference room rental costs exceeding the \$500 per day limit have pre-approval from Assistant Commissioner, Staff?	Yes	□ No	X N/A	Remarks:
25.	Are California Department of Justice (DOJ) and Federal Bureau of Investigation (FBI) fingerprint checks and driver license checks conducted for all of the following types of agreements:	Yes	□No	□ N/A	Remarks:
μ	 (1) Avionics Maintenance and Repair (2) Helicopter Maintenance and Repair (3) Instructor Services (on-site) (4) Janitorial Services (5) Consulting Services 		ā r	XI	
26.	Is a driver license check conducted for, but not limited to, all of the following types of agreements, if the contractor and/or specifically assigned personnel are scheduled to be on-site for more than 30 days: (1) Alarm and Fire Alarm Monitoring (2) Camera Maintenance and Repair (3) Carpet Installation (4) Diesel Generator Maintenance and Repair (5) Dishwasher Maintenance and Repair (6) Elevator Maintenance and Repair (7) Fire Extinguisher Service (8) Garage Door Maintenance and Repair (9) Graphic Arts Equipment Maintenance and Repair (10) Heating, Ventilation, and Air Conditioning Service (11) Laundry/Linen Service (12) Office Machine Maintenance and Repair (13) Painting Services (interior of facility) (14) Plumbing Services (interior of facility) (14) Plumbing Services (Carpet, not scales) (17) Telephone Services (cellular, satellite, and regular) (18) Television Equipment Maintenance and Repair (19) Uninterruptible Power Supply Maintenance and Repair	Yes	□ No	□ N/A	Remarks:

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

27. Are all driver license and fingerprint information forwarded to Contract Services Unit (CSU), along with the contract number for retention after Commander review?	Yes	☐ No	□ N/A	Remarks:
28. Is CSU advised by the command to determine if adverse information discovered is grounds for canceling the contract (i.e., adverse driver license and/or criminal history information is received regarding the contractor or the contractor's personnel)?	Yes	□ No	□ N/A	Remarks:
29. Are all invoices, records, and relevant documentation maintained for three years after the final payment of the contract?	Yes	☐ No	□ N/A	Remarks:
30. Is a log sheet maintained for a diary of activities related to the contract?	Yes	□No	□ N/A	Remarks:
31. Is a computer file prepared for all contracts administered?	☐ Yes	□Ņo	™ N/A	Remarks:
32. Is a spreadsheet prepared listing all expenditures?	☐ Yes	□No	N/A	Remarks:
33. Is the notification to the contractor documented for the start date for services to begin?	Yes	☐ No	□ N/A	Remarks:
34. Is the contractor contacted to determine if all invoices have been received in order to oversee the completion of the contract?	X Yes	□ No	□ N/A	Remarks:
35. Do consultant services contracts of \$1,000 or more contain detailed performance criteria and a schedule for performance? (SCM Vol. I, Ch. 3, Section 3.02.1)	☐ Yes	□No	X N/A	Remarks:
36. Does the contract file contain the STD. 4 Contractor Evaluation form for consultant contracts? (SCM Vol. I, Ch. 3, Section 3.02.5)	☐ Yes	□No	⊠ N/A	Remarks:
37. Does Contract work only begin after approval of the final contract? (SCM Vol. 1, Ch. 4, Section 4.09)	Yes	□No	□ N/A	Remarks:
38. Are the requirements for Government Code Section 19130 (a) or (b) documented and justified for personal service contracts? (GC 19130 & SCM Vol. I, Ch. 7, Section 7.05)	☐ Yes	□ No	-₩ N/A	Remarks:
39. Are any contract payments made prior to the final approval and execution of the contract? (SCM Vol. I, Ch. 4. Section 4.09)	Yes	1×100	□ N/A	Remarks:

Command: Division: Chapter: 3 STATE OF CALIFORNIA Northern DEPARTMENT OF CALIFORNIA HIGHWAY PATROL DGIF COMMAND INSPECTION PROGRAM Inspected by: 09/29/2008 OSS1 Maria Anderson, #A3480 EPTIONS DOCUMENT INSTRUCTIONS: This document shall be typed. Check appropriate boxes as necessary, or fill in the blanks as indicated. Enter the chapter number of the inspection in the Chapter Inspection number. Under "Forward to:" enter the next level of command where the document shall be routed to and its due date. This document shall be utilized to document innovative practices, suggestions for statewide improvement, identified deficiencies, corrective action plans, and may be used to appeal findings. A CHP 51 Memorandum may be used if additional space is required. TYPE OF INSPECTION Corrective Action Plan Included ☐ Division Level 🔀 Command Level ☐ Appeal Included ☐ Executive Office Level ☐ Attachments Included Commander's Signatute: Forward to: Date: Follow-up Required: 09/29/2008 ☐ Yes X No Due Date: Chapter Inspection: Inspector's Comments Regarding Innovative Practices: None

Command Suggestions for Statewide Improvement:

None

Inspector's Findings:

The inspector's findings indicate that the Dunsmuir Grade Inspection Facility is in compliance with departmental policies and procedures.

EXCEPTIONS DOCUMENT

Command: DGIF	Division: Northern	Chapter 3:	
Inspected by: OSS1 Marla	Anderson, #A3480	Date: 09/29/2008	8

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Commander's Response:	9- 4-	TO NAT HE WAS	200	10 11 TS 11 H US 18	- क्ष्रीह : ४	□ 3

The Dunsmuir Grade Inspection Facility is in compliance with Departmental policies and procedures.

Inspector's Comments:

None

Required Action None

Corrective Action Plan/Timeline

None

COMMAND INSPECTION PROGRAM EXCEPTIONS DOCUMENT

Page 3

Command:	Division:	Chapter:
DGIF	Northern	3
Inspected by:	1	Date:
OSSI Marla	Anderson, #A3480	09/29/2008

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STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Purchases

Command: Dunsmuir Grade I. F.	Division: Northern	Number: 147	
Evaluated by: Sgt. S. Marmor	nt, #10738	Dafe: 03-26-2009	
Assisted by:		Date:	

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

TYPE OF INSPECTION

Lead Inspector's Signature:

Division Level

Voluntary Self-Inspection

Additionally, such discrepancies with policy, applicable in the blanks as indicated. Any discrepancies with policy, applicable in the blanks as indicated. Any discrepancies with policy, applicable in the blanks as indicated. Any discrepancies with policy, applicable in the blanks as indicated. Any discrepancies with policy, applicable in the blanks as indicated. Any discrepancies with policy, applicable in the blanks as indicated. Any discrepancies with policy, applicable in the "Remarks" section. Additionally, such discrepancies with policy, applicable in the "Remarks" section. Additionally, such discrepancies with policy, applicable in the "Remarks" section. Additionally, such discrepancies with policy, applicable in the "Remarks" section. Additionally, such discrepancies with policy, applicable in the "Remarks" section. Additionally, such discrepancies with policy, applicable in the "Remarks" section. Additionally, such discrepancies with policy, applicable in the "Remarks" section. Additionally, such discrepancies with policy, applicable in the "Remarks" section. Additionally, such discrepancies with policy applicable in the "Remarks" section. Additionally applicable in the "Remarks" section. Additionally applicable in the "Remarks" section. Additionally applicable in the "Remarks" section.

☐ Executive Office Level ☐ Voluntary Self-Inspection	51/	Mach	1	****
Follow-up Required: Yes No Follow-up Inspection	Command	er's Signature	n	Date: 3/27/09
For applicable policy, refer to: HPM 11.2, Chapter 7			*	
Are participants in the procurement process at the command level familiar with the related policies and procedures for purchasing?	⊠ Yes	☐ No	□ N/A	Remarks:
Have Approvers/reviewers of purchases received procurement training?	⊠Yes	□No	□ N/A	Remarks:
Are prohibited items procured on CHP 43, Purchases Requisitions?	☐ Yes	⊠ No	□ N/A	Remarks:
 Supplies for personally – owned equipment Commodities for personal use Confirming order Purchases via the internet 			3	ge, a zeno en eg eg en en a a gya gel en a gent plan en en en en en en en e
Are separate CHP 43s, Purchase Requisitions, prepared for commodity items obtainable from different suppliers or from different statewide commodity contracts?	⊠ Yes	□ No	□ N/A	Remarks:
Is all required information entered on the CHP 43, Purchase Requisition?	⊠ Yes	□No	□ N/A	Remarks:
 Are the CHP 43, Purchase Requisitions, numbered consecutively, starting anew at the beginning of each fiscal year (July 1)? 	⊠ Yes	□No	□ N/A	Remarks:
7. Are expedited requests for the purchase of goods forwarded to the Assistant Commissioner, Staff, for approval?	Yes	□No	⊠ N/A	Remarks:

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Purchases

8.	Do specialized items purchased contain the appropriate Division, and/or OPI approvals?	⊠ Yes	□No	□ N/A	Remarks:
9,	Are the CHP 43, Purchase Requisitions, competitively bid?	⊠ Yes	□No	□ N/A	Remarks:
10	Does the CHP 315, Price Comparison Worksheet, document at least two price quotations?	⊠ Yes	□No	□ N/A	Remarks:
11	Are Limited Competitive Bidding purchase requests that limit or restrict the purchase to one specific brand or model justified and in compliance with SAM 3555?	☐ Y.es	□No	⊠ N/A	Remarks:
12	. Are Limited Competitive Bidding purchase requests for items that interface with existing departmental equipment in compliance with SAM 3555.3?	☐ Yes	□ No	⊠ N/A	Remarks:
13	Do Non-Competitive Bid (NCB) purchase requests contain the NCB justification and NCB Corrective Action Plan documents?	☐ Yes	□No	⊠ N/A	Remarks:
14.	Are items checked immediately for content and damage when delivered?	⊠ Yes	. 🗌 No	□ N/A	Remarks:
15.	Is the "received copy" of the purchase order approved, dated, and forwarded to the Fiscal Management Section (FMS), Account Payable Unit, within three business days of receipt, if all items are accepted?	⊠ Yes	□ No	□ N/A	Remarks:
16.	Are freight and/or packing slips attached to the received copy of the purchase order and sent to FMS?	⊠ Yes	□No	□ N/A	Remarks:
17.	Is FMS provided a photocopy of the purchase order and any approved freight or packing slips as acknowledgement that a portion of the order has been received?	⊠ Yes	- No	□ N/A	Remarks:
18.	Is the original "received copy" retained by the command for completion and forwarding to the FMS when the complete shipment is received?	⊠ Yes	□No	□ N/A	Remarks:
19.	Are <u>Damaged items</u> delivered by common carrier acknowledged on the freight bill by the carrier's driver before being accepted?	⊠ Yes	□ No	□ N/A	Remarks:

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Purchases

	20	Is Purchasing Services Unit (PSU) notified immediately by telephone, followed in writing either	⊠ Yes	□ No	□ N/A	Remarks;
		by a memorandum or e-mail, requesting cancellation of the requisition or deletion of an item, if it is determined that a commodity requested on a CHP 43 is no longer needed and a purchase order has not yet been prepared?	70 J. J.		1/2	
	21.	Are open purchase orders periodically reviewed and investigated to ensure the orders are not opened for an unreasonable length of time. (SAM 8422.0)	⊠ Yes	□No	□ N/A	Remarks:
1	22.	Are copies of the purchase requisitions and purchase orders maintained for three years after payment? (SCM Vol. II, Ch. 11, Topic 4)	⊠ Yes	□No	□ N/A	Remarks:
	23.	Are decisions documented to create a paper trail documenting the basis of the decisions made for the purchase? (SCM Vol II Ch. 2, Topic 11)	⊠ Yes	□ No	□ N/A	Remarks:
ti.	24.	Are purchase orders split to evade competitive bidding requirements or to circumvent the Department's delegated purchase authority limits? (Public Contracts Code Section 10329)	Yes	⊠ No	□ N/A	Remarks:

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STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Cal-Card Program

TYPE OF INSPECTION

Command: Dunsmuir Grade I. F.	Division: Northern	Number: 147
Evaluated by:	- 1655 m - 16	Date:
S. Marmont		03-26-2009
Assisted by:	and at large	Date:
	1.5200 1 1 2	

TYPE C	DF INSPECTION	Lead Insp	ector's Signat	ure:	aji ai
Div	rision Level				man trader.
☐ Ex	ecutive Office Level	5,	Majon	1 /	
Fo	ollow-up Required: ☐ Follow-up Inspection ☐ Yes ☐ No	Command	ler's Signature	dan	Date: 3/27/09
For a	oplicable policy, refer to: HPM 11.2, Chapter 3			1 52 7	
1.	Are all employees associated with the use of the Cal- Card program completing the CHP 78S, Conflict of Interest Statement, Employee, form?	⊠ Yes	□ No	□ N/A	Remarks:
2.	Are STD. 21 Drug Free Workplace certifications maintained within the Cal Card command file for each vendor utilized?	⊠ Yes	☐ No	□ N/A	Remarks:
3.	Are STD. 204 Payee Data Record forms maintained in the Cal Card command file for each vendor utilized?	⊠ Yes	□ No	□ N/A	Remarks:
4.	Are California Integrated Waste Management Board Form 74 documents maintained for each vendor utilized?	⊠ Yes	☐ No	□ N/A	Remarks:
5.	If the vendor is a small business or DVBE is utilized, is the certification letter from the Department of General Services maintained in the file?	⊠·Yes	□ No	□ N/A	Remarks:
6.	When fair and reasonable is utilized, is the fair and reasonable method documented and properly justified?	⊠ Yes	□No	□ N/A	Remarks:
7.	Are purchases split into multiple transactions in order to circumvent transaction purchase limits?	☐ Yes	⊠ No	□ N/A	Remarks:
8.	Does the CHP 317 Cal Card Log fully describe the purchase?	⊠ Yes	□No	□ N/A	Remarks:
9.	Are bank statements reconciled with the CHP 317 Cal Card Log and the receipts/invoices?	⊠ Yes	□No	□ N/A	Remarks:

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STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Cal-Card Program

	CHP 317 Cal Card Log properly authorized paintained?	⊠ Yes.	☐ No	□ N/A	Remarks:
	edit invoices/receipts for returned items ained with the bank statement?	⊠ Yes	☐ No	□ N/A	Remarks:
docun quant	n-itemized purchase receipts/invoices nent the purchase by listing the commodity, ty, and unit price of the item(s) purchased on ink statement.	⊠ Yes	□ No	□ N/A	Remarks:
13. Are C	al Cards maintained in a secure area?	∵⊠ Yes	□No	□ N/A	Remarks: Locked cash box
	al Card purchases pre-approved by the ander?	⊠ Yes	□No	□ N/A	Remarks:
	all cardholders received training on the tment's procurement processes?	⊠ Yes	□No	□ N/A	Remarks:
	m(s) purchased with the Cal Card prohibited partmental policy?	☐ Yes	⊠ No	□ N/A	Remarks:

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STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements X-Number Program

TYPE OF INSPECTION

Dunsmuir Grade I. F.	Division; Northern	Number: 147
Evaluated by: S. Marmont		Date: 03-26-2009
Assisted by:	1 0 90,2 0 1 ES	Date:

TYPE OF INSPECTION	Lead Insp	ector's Signal	ture:	
☐ Division Level ☐ Command Level	3 10 100 100		* * .	as
☐ Executive Office Level ☐ Voluntary Self-Inspection	SI	Mach	aft	they are a stay of
Follow-up Required:	Command	er's Signature	177	Date: 3/27/09
For applicable policy, refer to: HPM 11.1, Chapter 23		: h	-1-1-1	ye see
 Are multiple X Numbers awarded to the same vendor to circumvent the \$4,999 contract limit? 	☐ Yes	⊠ No	□ N/A	Remarks:
Does all X Number file documentation contain the STD. 204 Payee Data Record?	⊠ Yes	□ No	□ N/A	Remarks:
 Do X Numbers requiring a contract (i.e., janitorial or landscaping) have prior approval from the Business Services Section commander? 	⊠ Yes	□No	□ N/A	Remarks:
4. Are X Number requests made prior to the date the services are performed?	⊠ Yes	□No	□ N/A	Remarks;
5. Are X Numbers issued for a one-time use?	⊠ Yes	□No	□ N/A	Remarks:
6. Are prohibited services performed using an X Number?	Yes	⊠ No	□ N/A	Remarks:
7. Are X Numbers used for the procurement of a service and not the purchase of a commodity?	⊠ Yes	□No	□ N/A	Remarks:
8. Are X Numbers issued for telecommunications related services pre-approved by Telecommunications Section?	⊠ Yes	□No	□ N/A	Remarks:
 Do X Numbers used for facilities related services (such as roof repair, electrical) costing over \$1,000 have prior approval from Facilities Section? 	⊠ Yes	□No	N/A	Remarks:
10. Do X Numbers issued for lapsed contractual agreements have prior approval by the appropriate Assistant Commissioner?	☐ Yes	□No	⊠ N/A	Remarks:

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STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements X-Number Program

11. Do all X Numbers awarded to a non-small business vendor contain three price quotations?	⊠ Yes	□ No	□ N/A	Remarks:
12. Do all X Numbers awarded to a small business vendor contain the small business certification from the Department of General Services (DGS)?	⊠ Yes	□ No	□ N/A	Remarks:
13. Does the file documentation contain the STD. 21 Drug Free workplace certification for X Number vendors?	⊠ Yes	□No	□ N/A	Remarks:
14. Do emergency service X Numbers document and justify the emergency?	⊠ Yes	□No	. N/A	Remarks:
15. Is the itemized involce for each X Number service maintained in the command's files?	⊠ Yes	□ No	 N/A	Remarks:

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STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Contracts

Command: Dunsmuir Grade I. F.	Division: Northern	Number: 147
Evaluated by:		Date:
S. Marmont	111,092	03-26-2009
Assisted by:	र है अर व	Date:
	5 K	

applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected. TYPE OF INSPECTION Lead Inspector's Signature: □ Command Level Division Level ☐ Executive Office Level ☐ Voluntary Self-Inspection ☐ Follow-up Inspection Follow-up Required: X No Yes For applicable policy, refer to: HPM 11.1, Chapter 22 Is a CHP 78 Contract Request used to initiate all Remarks: This command has not service contracts which are repetitive, regardless of ☐ Yes □ No \bowtie N/A initiated any contracts. They are the estimated dollar value? issued by Facilities Section. Is a CHP 78 Contract Request used for one-time Remarks: See above remark. services exceeding \$4,999.99? ☐ Yes No \bowtie N/A Is the Office of Primary Interest (OPI) tracking Remarks: See remark under #1. numbering beginning with the requesting command ⊠ N/A ☐ Yes ∏No three-digit location code used, followed by "CP" for contract payable listed on the CHP 78? Is the performance of contract services monitored Remarks: and documented? ⊠ Yes -N/A No-Are all copies of correspondence with the vendor Remarks: maintained? X Yes No □ N/A Are letters for contracts documented and maintained Remarks: which outline any problems related to substandard or ⊠ Yes No □ N/A non-performance of the vendor? Is the final product to be delivered described Remarks: specifically and in as much detail as possible in the ✓ Yes ΠNο \square N/A CHP 78? Are all required levels of approval/signature obtained, Remarks: including the required documentation and approvals ⊠ Yes No □ N/A for expedite and emergency contracts per HPM 11.1, Chapter 22, before forwarding the CHP 78 or CHP 78A?

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy,

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

	9,	Are requests for contract services less than six months from the anticipated start date of the contract pre-approved by Assistant Commissioner, Staff, for expedited processing?	☐ Yes.	□No	⊠ N/A	Remarks:
	10	Is all work completed and accepted by the Department before expiration of contract agreement?	⊠ Yes.	□ No	□ N/A	Remarks:
-	11	Are contract services performed according to the quality, quantity, objectives, timeframes, and in the manner specified in the contract (e.g., review progress reports and interim products)?	⊠ Yes	□No	□ N/A	Remarks:
ю,			1 1	v #		1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1
	12.	Are invoices for payment reviewed and approved to substantiate expenditures for work performed and to prevent penalties being assessed?	⊠ Yes	□ No	□ N/A	Remarks:
	13.	Are contract expenditures monitored to ensure there are <u>sufficient funds</u> to pay for all services rendered as required by contract?	⊠ Yes	☐ No	□ N/A	Remarks:
	14.	Does the requestor verify the contractor has fulfilled all requirements of the contract before approving the final invoice?	⊠ Yes	□ No	□ N/A	Remarks:
	15.	Is the final invoice identified and approved, as appropriate and forwarded to Fiscal Management Section for payment?	⊠ Yes	□No	□ N/A	Remarks:
	16.	Are all applicable form sections of the CHP 78 completed?	⊠ Yes	□No	□ N/A	Remarks:
	17.	Do emergency contracts document and justify a sudden, unexpected occurrence that poses a clear and imminent danger, requiring immediate action to mitigate the loss or impairment of life; health, property, or essential public services?	⊠ Yes	□ No	□ N/A	Remarks:
-	18,	Are all employees associated with the management of a contract completing the CHP 78S, Conflict of Interest Statement, Employee, form?	⊠ Yes	□No	□ N/A	Remarks
		Are problems concerning the contractor's performance fully documented in writing and made a part of the contract manager's contract file?	⊠ Yes	□ No	□ N/A	Remarks:
		Are contract amendment request dollar amounts increased more than 30%?	☐ Yes	☐ No	⊠ N/A	Remarks: No contract amendments requested.

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Ç4	21. Is the length of the contract amendment request more than one year?	☐ Yes	□ No	⊠ N/A	Remarks: See remarks under #20.
	Are amendments requested before the expiration of the original contract?	Yes	□ No	⊠ N/A	Remarks: See remarks under #20.
	23. Is a service contract on a CHP 78, Contract Request initiated for any commercial meeting/conference room rental which is expected to exceed \$4,999.99 in total cost?	☐ Yes	□ No	⊠ N/A	Remarks:
	24. Do conference room rental costs exceeding the \$500 per day limit have pre-approval from Assistant Commissioner, Staff?	☐ Yes	□ No	⊠ N/A	Remarks:
	25. Are California Department of Justice (DOJ) and Federal Bureau of Investigation (FBI) fingerprint checks and driver license checks conducted for all of the following types of agreements:	⊠ Yes	□No	□ N/A	Remarks:
	 (1) Avionics Maintenance and Repair (2) Helicopter Maintenance and Repair (3) Instructor Services (on-site) (4) Janitorial Services (5) Consulting Services 	aret.	40		
	26. Is a <u>driver license check</u> conducted for, but not limited to, all of the following types of agreements, if the contractor and/or specifically assigned personnel	☐ Yes	□No	⊠ N/A	Remarks: These types of personnel are not on site for more than 30 days.
*	are scheduled to be on-site for more than 30 days:	in the		207	Production of the second
	(1) Alarm and Fire Alarm Monitoring (2) Camera Maintenance and Repair (3) Carpet Installation (4) Diesel Generator Maintenance and Repair (5) Dishwasher Maintenance and Repair (6) Elevator Maintenance and Repair (7) Fire Extinguisher Service (8) Garage Door Maintenance and Repair (9) Graphic Arts Equipment Maintenance and Repair (10) Heating, Ventilation, and Air Conditioning Service (11) Laundry/Linen Service (12) Office Machine Maintenance and Repair (13) Painting Services (interior of facility) (14) Plumbing Services (15) Scale Maintenance and Repair (16) Steam Cleaning Services (Carpet, not scales) (17) Telephone Services (cellular, satellite, and regular) (18) Television Equipment Maintenance and Repair (19) Uninterruptible Power Supply Maintenance and Repair				
	1 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0		+7		

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

	27	7. Are all driver license and fingerprint information forwarded to Contract Services Unit (CSU), along with the contract number for retention after Commander review?	⊠ Yes	□ No	□ N/A	Remarks:
7.5		- Popular i galar e di America,	go 71 G	PET LIVE		
	28	B. Is CSU advised by the command to determine if adverse information discovered is grounds for canceling the contract (i.e., adverse driver license	⊠ Yes	□No	□ N/A	Remarks:
		and/or criminal history information is received regarding the contractor or the contractor's personnel)?		14 25	27	
	29	Are all invoices, records, and relevant documentation maintained for three years after the final payment of the contract?	⊠ Yes	□No	□ N/A	Řemarks:
4,1	30.	Is a log sheet maintained for a diary of activities related to the contract?	⊠ Yes	□ No	□ N/A	Remarks:
	31.	ls a computer file prepared for all contracts administered?	☐ Yes	□ No	⊠ N/A	Remarks: This command does not administer any contracts.
	32.	Is a spreadsheet prepared listing all expenditures?	☐ Yes	□No	⊠ N/A	Remarks: See remarks under #31.
	33.	Is the notification to the contractor documented for the start date for services to begin?	⊠ Yes	□ No	□ N/A	Remarks:
	34.	Is the contractor contacted to determine if all invoices have been received in order to oversee the completion of the contract?	∑ Yes	□No	□ N/A	Remarks:
	35.	Do consultant services contracts of \$1,000 or more contain detailed performance criteria and a schedule for performance? (SCM Vol. I, Ch. 3, Section 3.02.1)	Yes	□ No	⊠ N/A	,Remarks:
	36.	Does the contract file contain the STD. 4 Contractor Evaluation form for consultant contracts? (SCM Vol. I, Ch. 3, Section 3.02.5)	☐ Yes	□No	⊠ N/A	Remarks
	37:	Does Contract work only begin after approval of the final contract? (SCM Vol. 1, Ch. 4, Section 4.09)	⊠ Yes	□ No	□ N/A	Remarks:
	38.	Are the requirements for Government Code Section 19130 (a) or (b) documented and justified for personal service contracts? (GC 19130 & SCM Vol. I, Ch. 7, Section 7.05)	☐ Yes	□No	⊠ N/A	Remarks:
	· ·		* * * * * * * * * * * * * * * * * * *	4.0	23	
	39.	Are any contract payments made prior to the final approval and execution of the contract? (SCM Vol. I.	☐ Yes	⊠ No	□ N/A	Remarks:

COMMAND INSPECTION PROGRAM EXCEPTIONS DOCUMENT

Command: Dunsmuir Grade I. F.	Division: Northern	Chapter: 3
Inspected by:	A CONTRACTOR TO THE PARTY OF	Date:
Sgt. S. Marmont		03-26-2009

INSTRUCTIONS: This document shall be typed. Check appropriate boxes as necessary, or fill in the blanks as indicated. Enter the chapter number of the inspection in the Chapter Inspection number. Under "Forward to:" enter the next level of command where the document shall be routed to and its due date. This document shall be utilized to document innovative practices, suggestions for statewide improvement, identified deficiencies, corrective action plans, and may be used to appeal findings. A CHP 51 Memorandum may be used if additional space is required.

additional space is required.	*		
TYPE OF INSPECTION Division Level Command Le	Wel .	Corrective Action Plan Include	ed
THE RESERVE OF THE SECOND	Vei	Appeal Included	7 - 4 - 4
Executive Office Level	Forward to:	Attachments Included Commander's Signature:	Date: /
Follow-up Requirea:	Northern	Commander's Signature	Date.
☐ Yes ☑ No	Due Date:04-10-2009	Im Fordin	3/27/09
Chapter Inspection:	等电影《 文 图》等	an same in Arms a specimens as the same of	
Inspector's Comments Regard	ing Innovative Practice	S.	ระบาม พิษามีผู้เหติใหญ่
None.			* 5 a
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100 PM		N 2 2	
Command Suggestions for Sta	tewide Improvement:	\$ 100 Miles 100 31	B Tel M
None.			
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Inspector's Findings:	WILLIAM TO THE SAME	The state of the s	

The inspector findings indicate that the Dunsmuir Grade Inspection Facility is in compliance with Departmental policies and procedures.

DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

COMMAND INSPECTION PROGRAM **EXCEPTIONS DOCUMENT**

Command: Dunsmuir Grade I. F.	Division:	Chapter: 3
Inspected by:	The state of the state of the	Date: * * *
Sgt. S. Marmont	, #10738	03-26-2009

Commander's Response:	27 - 12	81	902 925 FM 1 F F F F	e jih

The Dunsmuir Grade Inspection Facility is in compliance with Departmental policies and procedures.

Inspector's Comments:

Required Action

Corrective Action Plan/Timeline

None.

COMMAND INSPECTION PROGRAM EXCEPTIONS DOCUMENT

Page 3

Command; Dunsmuir Grade I. F.:.	Division: Northern	Chapter:
Inspected by:	Exercise 2	Date:
Sgt. S. Marmon	OBJE TELL JUNE	03-26-2009

		the completed chapter	
Commander's Basis for Appeal:	(1) (2) ±1 (1) (8) (1) (8) (1)		
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ppeal Review/Decision: (This shall be th	e only level of appeal).	F. 28 318	
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COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Purchases

Command:	Division:	Number:
Quincy -165	Northern	
Evaluated by:		Date:
Cheryl Wilson		10/08/08
Assisted by:		Date:

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected. TYPE OF INSPECTION Lead Inspector's Signature: ☐ Division Level Command Level ☐ Executive Office Level Voluntary Self-Inspection Follow-up Required: Follow-up Inspection X Yes 11/3/8 For applicable policy, refer to: HPM 11.2, Chapter 7 1. Are participants in the procurement process at the Remarks: command level familiar with the related policies and □ No □ N/A procedures for purchasing? Have Approvers/reviewers of purchases received Remarks: procurement training? X Yes □ No □ N/A 3. Are prohibited items procured on CHP 43, Purchases Remarks: Requisitions? ⊠ No ☐ Yes □ N/A Supplies for personally – owned equipment Commodities for personal use Confirming order Purchases via the internet Are separate CHP 43s, Purchase Requisitions, Remarks: prepared for commodity items obtainable from X Yes ☐ No □ N/A different suppliers or from different statewide commodity contracts? Is all required information entered on the CHP 43, Remarks: Object code information Purchase Requisition? Yes No . $\prod N/A$ has not always been added. Are the CHP 43, Purchase Requisitions, numbered Remarks: consecutively, starting anew at the beginning of each X Yes ☐ No □ N/A fiscal year (July 1)? 7. Are expedited requests for the purchase of goods Remarks: forwarded to the Assistant Commissioner, Staff, for Yes □ No ⊠ N/A approval?

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STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements X-Number Program

Command:	Division:	Number:
Quincy - 165	Northern	
Evaluated by:		Date:
Cheryl Wilson		10/08/08
Assisted by:		Date:
,		

TYPE OF INSPECTION	Lead Inspector's Signature:			
☐ Division Level ☐ Command Level	1			
☐ Executive Office Level ☐ Voluntary Self-Inspection	Clery Wilson			
Follow-up Required:	Commander's Signature: Date: ///3/8			
For applicable policy, refer to: HPM 11.1, Chapter 23				
 Are multiple X Numbers awarded to the same vendor to circumvent the \$4,999 contract limit? 	☐ Yes ☐ No ☐ N/A Remarks:			
Does all X Number file documentation contain the STD. 204 Payee Data Record?				
3. Do X Numbers requiring a contract (i.e., janitorial or landscaping) have prior approval from the Business Services Section commander?	☐ Yes ☐ No ☑ N/A Remarks:			
4. Are X Number requests made prior to the date the services are performed?	Yes No N/A Remarks: 1 exception – all proper memos were completed to correct.			
5. Are X Numbers issued for a one-time use?				
Are prohibited services performed using an X Number?	☐ Yes ☐ No ☐ N/A Remarks:			
7. Are X Numbers used for the procurement of a service and not the purchase of a commodity?				
Are X Numbers issued for telecommunications related services pre-approved by Telecommunications Section?	Yes ☐ No ☐ N/A Remarks:			
9. Do X Numbers used for facilities related services (such as roof repair, electrical) costing over \$1,000 have prior approval from Facilities Section?	☐ Yes ☐ No ☐ N/A Remarks:			
10. Do X Numbers issued for lapsed contractual agreements have prior approval by the appropriate Assistant Commissioner?	☐ Yes ☐ No ☒ N/A Remarks:			

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Cal-Card Program

Command: Quincy — 165	Northern	Number:
Evaluated by: Cheryl Wilson		Date: 10/07/08
Assisted by:		Date:

TYPE OF INSPECTION	Lead Insp	ector's Signat	ure:		
☐ Division Level ☐ Command Level ☐ Executive Office Level ☐ Voluntary Self-Inspection	on Che	rist (Velpe	ne.	
Follow-up Required:	Command	eks Signature	: _ :		Date: 11/3/8
For applicable policy, refer to: HPM 11.2, Chapter 3					
 Are all employees associated with the use of the Ca Card program completing the CHP 78S, Conflict of Interest Statement, Employee, form? 	al- ⊠ Yes	□No	□ N/A	Remarks:	3. market
Are STD. 21 Drug Free Workplace certifications maintained within the Cal Card command file for each vendor utilized?	⊠ Yes	☐ No	□ N/A	Remarks: Ke Cal-Card and	ept in a central file for I X-numbers
 Are STD. 204 Payee Data Record forms maintained in the Cal Card command file for each vendor utilized? 	⊠ Yes	□No	□ N/A	Remarks:	
4. Are California Integrated Waste Management Board Form 74 documents maintained for each vendor utilized?	⊠ Yes	☐ No	□ N/A	these for Offi	eadquarters receives ce Depot. When n other businesses, we
5. If the vendor is a small business or DVBE is utilized is the certification letter from the Department of General Services maintained in the file?	∑ Yes	☐ No	□ N/A	Remarks:	
6. When fair and reasonable is utilized, is the fair and reasonable method documented and properly justified?	⊠ Yes	□ No	□ N/A	Remarks:	
7. Are purchases split into multiple transactions in order to circumvent transaction purchase limits?	□ Yes	⊠ No	□ N/A	Remarks:	
8. Does the CHP 317 Cal Card Log fully describe the purchase?	⊠ Yes	. No	□ N/A	Remarks:	
Are bank statements reconciled with the CHP 317 Cal Card Log and the receipts/invoices?	⊠ Yes	□ No	□ N/A	Remarks:	

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Contracts

Command: Quincy - 165	Division: Northern	Number:
Evaluated by: Cheryl Wilson		Date: 10/07/08
Assisted by: Darrell Brown		Date: 10/07/08

TYPE OF INSPEC	TION		Lead Insp	ector's Signati	ıre:		
☐ Division Lev		☑ Command Level ☑ Voluntary Self-Inspection	Cle	ly Gen	vila	~V	
Follow-up	Required:	☐ Follow-up Inspection	Command	ers Signature	. .		Date: ///5/8
For applicable	policy, refer to:	HPM 11.1, Chapter 22				9	
service		quest used to initiate all re repetitive, regardless of e?	Yes	. 🗌 No	⊠ N/A	Remarks: N completed at	o CHP 78 contracts Area level.
	IP 78 Contract Re s exceeding \$4,99	quest used for one-time 9.99?	Yes	□No	⊠ N/A	Remarks:	
number three-di	ing beginning with	terest (OPI) tracking the requesting command ised, followed by " <u>CP" for</u> the CHP 78?	☐ Yes	□No	⊠ N/A	Remarks:	÷
	erformance of con umented?	tract services monitored	⊠ Yes	□No	□ N/A	Remarks:	
5. Are all o maintair		ndence with the vendor	⊠ Yes	☐ No	□ N/A	Remarks:	
which or		ocumented and maintained is related to substandard or endor?	☐ Yes	□No	⊠ N/A	Remarks:	z 8
	lly and in as mucl	elivered described n detail as possible in the	☐ Yes	□No	⊠ N/A	Remarks:	ž.
including for exped	the required doc lite and emergen	pproval/signature obtained, umentation and approvals by contracts per HPM 11.1, ding the CHP 78 or CHP	☐ Yes	□ No	⊠ N/A	Remarks:	- 2

COMMAND INSPECTION PROGRAM EXCEPTIONS DOCUMENT

Command:	Division:	Chapter:	
Quincy – 165	Northern	3	
Inspected by:		Date:	
Cheryl Wilson		10/24/08	

INSTRUCTIONS: This document shall be typed. Check appropriate boxes as necessary, or fill in the blanks as indicated. Enter the chapter number of the inspection in the Chapter Inspection number. Under "Forward to:" enter the next level of command where the document shall be routed to and its due date. This document shall be utilized to document innovative practices, suggestions for statewide improvement, identified deficiencies, corrective action plans, and may be used to appeal findings. A CHP 51 Memorandum may be used if additional space is required.

additional space is required.			·		
TYPE OF INSPECTION		☐ Corrective Action Plan Included			
☐ Division Level ☐ Command Level		Appeal Included			
☐ Executive Office Level		Attachments Included			
Follow-up Required:	Forward to: Northern Division	Commander's Signature:	Date:		
⊠ Yes □ No	Due Date: Nov. 1, 2008	1	Nov. 3, 2008		
Chapter Inspection:					
Inchactor's Comments P	egarding Innovative Practic	oor			
N .					
None					
Command Suggestions f	or Statewide Improvement:				
Command Suggestions i	of Statewide Improvement.				
None					
Inspector's Findings:					

Chapter 3, Command Procurements, Purchases

- 10. Area has not been completing the CHP 315.
- 16. Area has not been forwarding packing/freight slips to FMS but has been keeping at Area level.

COMMAND INSPECTION PROGRAM

EXCEPTIONS DOCUMENT

Command: Division: Chapter:
Quincy - 165 Northern 3
Inspected by: Date:
Cheryl Wilson 11-3-08

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Commander's Response:

Commander concurs with inspector's findings.

Inspector's Comments:

None

Required Action
。 第14章 1177章 "大学的大学","我们就是是一个大学的,我们就是一个大学的人,我们就是一个大学的人,我们就是一个大学的人,我们就是一个人的人,我们就是一个
Corrective Action Plan/Timeline

- 10. Area will begin completing the CHP 315 as required when purchasing/requesting items that do not already have a contract set up through Headquarters.
- 16. Area will immediately begin forwarding packing/freight slips to FMS as they are received.

COMMAND INSPECTION PROGRAM EXCEPTIONS DOCUMENT

Command:	Division:	Chapter:	
Quincy - 165 Northern		3	
Inspected by:		Date:	
Cheryl Wilson		11-3-08	

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Commander's Ba	sis for Appeal:			
			· E	
		the only level of appeal).		

Lead Inspector's Signature;	Date:		
Cherry Wilson	November 3, 2008		
Responding Commander's Signature (for appeal):	Date:		
Ų .			

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STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements X-Number Program

Command: Humboldt	Division: Northern	Number:		
Evaluated by: H.J. Rosendahl		Date: 03/13/09		
Assisted by: Kimberly Holland		Date: 03/03/09		

TYPE OF INSPECTION			Lead Inspector's Signature:			
☐ Division Level ☐ Command Level			. /			
☐ Executive Office Level ☐ Voluntary Self-Inspection		H/laudel				
Follow-up Required: ☐ Follow-up Inspect	ction (Commande	r's Signature	ann	Date: 3/3/69	
For applicable policy, refer to: HPM 11.1, Chapter 23						
 Are multiple X Numbers awarded to the same v to circumvent the \$4,999 contract limit? 		☐ Yes	⊠ No	□ N/A	Remarks:	
Does all X Number file documentation contain the STD. 204 Payee Data Record?		⊠ Yes	□No	□ N/A	Remarks:	
Do X Numbers requiring a contract (i.e., janitorial or landscaping) have prior approval from the Business Services Section commander?		⊠ Yes	□ No	□ N/A	Remarks:	
Are X Number requests made prior to the date the services are performed?		⊠ Yes	□No	□ N/A	Remarks:	
5. Are X Numbers issued for a one-time use?		⊠ Yes	□No	□ N/A	Remarks:	
6. Are prohibited services performed using an X Number?		☐ Yes	⊠ No	□ N/A	Remarks:	
7. Are X Numbers used for the procurement of a service and not the purchase of a commodity?		⊠ Yes	□No	□ N/A	Remarks:	
8. Are X Numbers issued for telecommunications related services pre-approved by Telecommunications Section?		⊠ Yes	□ No	□ N/A	Remarks:	
 Do X Numbers used for facilities related services (such as roof repair, electrical) costing over \$1, have prior approval from Facilities Section? 		⊠ Yes	□ No	□ N/A	Remarks:	
10. Do X Numbers issued for lapsed contractual agreements have prior approval by the appropriate Assistant Commissioner?	riate	☐ Yes	□ No	⊠ N/A	Remarks:	

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STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements X-Number Program

11. Do all X Numbers awarded to a non-small business vendor contain three price quotations?	☐ Yes	□ No	⊠ N/A	Remarks:All small businesses
12. Do all X Numbers awarded to a small business vendor contain the small business certification from the Department of General Services (DGS)?	⊠ Yes	□No	□ N/A	Remarks:
13. Does the file documentation contain the STD. 21 Drug Free workplace certification for X Number vendors?	⊠ Yes	□No	□ N/A	Remarks:
14. Do emergency service X Numbers document and justify the emergency?	⊠ Yes	□ No	□ N/A	Remarks:
15. Is the itemized invoice for each X Number service maintained in the command's files?	⊠ Yes	□ No	□ N/A	Remarks:

STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements X-Number Program

		Page	1 of 2		
Command: Humboldt	Division: Northern	Number:			
Evaluated by: H.J. Rosendahl		Date: 11/03/08			
Assisted by: Kimberly Holland		Date: 11/03/08			

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up

Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.						
Lead Inspector's Signature:						
HT More Sal 1						
Commander's Signature: Date: 11 Wosewald Alc 11-3-08						
1) mesewams vice 11-3-08						
☐ Yes ☐ No ☐ N/A Remarks:						
☑ Yes ☐ No ☐ N/A Remarks:						
☑ Yes ☐ No ☐ N/A Remarks:						
☐ Yes ☐ No ☐ N/A Remarks:						
⊠ Yes □ No □ N/A Remarks:						
☐ Yes ☑ No ☐ N/A Remarks:						
☐ Yes ☐ No ☐ N/A Remarks:						
☐ Yes ☐ No ☒ N/A Remarks:						

P.03

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STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements X-Number Program

11. Do all X Numbers awarded to a non-small business vendor contain three price quotations?	☐ Yes	□No	⊠ N/A	Remarks:All small businesses
12. Do all X Numbers awarded to a small business vendor contain the small business certification from the Department of General Services (DGS)?	⊠ Yes	□No	□ N/A	Remarks:
13. Does the file documentation contain the STD. 21 Drug Free workplace certification for X Number vendors?	⊠ Yes	□ No	□ N/A	Remarks:
14. Do emergency service X Numbers document and justify the emergency?	⊠ Yes	□No	□ N/A	Remarks:
15. Is the itemized invoice for each X Number service maintained in the command's files?	⊠ Yes	☐ No	□ N/A	Remarks:

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STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Command: Humboldt	Division: Northern	Number:		
Evaluated by: H.J. Rosendah	1	Date: 11/03/2008		
Assisted by:		Date:		

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or applicable legal statues, or deficiencies noted in the inspections shall be discrepancies and/or deficiencies shall be documented on an Exception Furthermore, the Exceptions Document shall include any follow-up and/Inspection, the "Follow-up Inspection" box shall be marked and only defined.	s Document	and addres	sed to the aken. If this	next level of form is use	f command.
	Lead Inspecto	r's Signature			
TYPE OF INSPECTION	Lead Inspecto	i s Signature	*		
Division Level		/	S V	>	
Executive Office Level	Commander's	Signature:	4		Date:
Follow-up Required:	14Thos	ewalds	1 Alc		11-3-08
For applicable policy, refer to: HPM 11.1, Chapter 22				· - 21 · · ·	
Is a CHP 78 Contract Request used to initiate all service contracts which are repetitive, regardless of the estimated dollar value?	☐ Yes	□No	⊠ N/A	Remarks:	
2. Is a CHP 78 Contract Request used for one-time services exceeding \$4,999.99?	Yes	□No	⊠ N/A	Remarks:	and the second s
Is the Office of Primary Interest (OPI) tracking numbering beginning with the requesting command three-digit location code used, followed by "CP" for contract payable listed on the CHP 78?	Yes	□ No	⊠ N/A	Remarks:	
4. Is the performance of contract services monitored and documented?	☐ Yes	□ No	⊠ N/A	Remarks:	
5. Are all copies of correspondence with the vendor maintained?	☐ Yes	□ No	⊠ N/A	Remarks:	
6. Are letters for contracts documented and maintained which outline any problems related to substandard or non-performance of the vendor?	Yes	□ No	⊠ N/A	Remarks:	
7. Is the final product to be delivered described specifically and in as much detail as possible in the CHP 78?	☐ Yes	□ No	⊠ N/A	Remarks:	100
8. Are all required levels of approval/signature obtained including the required documentation and approvals for expedite and emergency contracts per HPM 11.1, Chapter 22, before forwarding the CHP 78 or CHP 78A?	1 1 100	□ No	⊠ N/A	Remarks	

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STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

	4-				V/	
FE	9.	Are requests for contract services less than six months from the anticipated start date of the contract pre-approved by Assistant Commissioner, Staff, for expedited processing?	☐ Yes	□ No	⊠ N/A	Remarks:
**	1:	Is_all work completed and accepted by the Department before expiration of contract agreement?	☐ Yes	□No	⊠ N/A	Remarks:
	11.	Are contract services performed according to the quality, quantity, objectives, timeframes, and in the manner specified in the contract (e.g., review progress reports and interim products)?	☐ Yes	□ No	⊠ N/A	Remarks:
	Ĺ	Are invoices for payment reviewed and approved to substantiate expenditures for work performed and to prevent penalties being assessed?	☐ Yes	□ No	⊠ N/A	Remarks:
		Are contract expenditures monitored to ensure there are <u>sufficient funds</u> to pay for all services rendered as required by contract?	☐ Yes	□ No	⊠ N/A	Remarks:
24		Does the requestor verify the contractor has fulfilled all requirements of the contract before approving the final invoice?	☐ Yes	□ No	⊠ N/A	Remarks:
2	15	Is the final invoice identified and approved, as appropriate and forwarded to Fiscal Management Section for payment?	☐ Yes	□ No	⊠ N/A	Remarks:
30.00	16	Are all applicable form sections of the CHP 78 completed?	☐ Yes	□ No	⊠ N/A	Remarks:
		Do emergency contracts document and justify a sudden, unexpected occurrence that poses a clear and imminent danger, requiring immediate action to mitigate the loss or impairment of life, health, property, or essential public services?	☐ Yes	□ No	⊠ N/A	Remarks:
	i i	Are all employees associated with the management of a contract completing the CHP 78S, Conflict of Interest Statement, Employee, form?	☐ Yes	□ No	⊠ N/A	Remarks:
	19.	Are problems concerning the contractor's performance fully documented in writing and made a part of the contract manager's contract file?	☐ Yes	□ No	⊠ N/A	Remarks:
	20.	Are contract amendment request dollar amounts increased more than 30%?	☐Yes	□No	⊠ N/A	Remarks:

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STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

	Is the length of the contract amendment request more than one year?	☐ Yes	□ No	⊠ N/A	Remarks:
22.	Are amendments requested before the expiration of the original contract?	☐ Yes	□No	⊠ N/A	Remarks:
23.	Is a service contract on a CHP 78, Contract Request initiated for any commercial meeting/conference room rental which is expected to exceed \$4,999.99 in total cost?	☐ Yes	□ No	⊠ N/A	Remarks:
24.	Do conference room rental costs exceeding the \$500 per day limit have pre-approval from Assistant Commissioner, Staff?	☐ Yes	□ No	⊠ N/A	Remarks:
25.	Are California Department of Justice (DOJ) and Federal Bureau of Investigation (FBI) fingerprint checks and driver license checks conducted for all of the following types of agreements:	⊠ Yes	□ No	□ N/A	Remarks: 125 only has one Janitorial service. The actual contract was set up through HQ.
	 (1) Avionics Maintenance and Repair (2) Helicopter Maintenance and Repair (3) Instructor Services (on-site) (4) Janitorial Services (5) Consulting Services 				
26.	Is a <u>driver license check</u> conducted for, but not limited to, all of the following types of agreements, if the contractor and/or specifically assigned personnel are scheduled to be on-site for more than 30 days:	⊠ Yes	□ No	□ N/A	Remarks: When appropriate.
	 Alarm and Fire Alarm Monitoring Camera Maintenance and Repair Carpet Installation Diesel Generator Maintenance and Repair Dishwasher Maintenance and Repair Elevator Maintenance and Repair Fire Extinguisher Service Garage Door Maintenance and Repair Graphic Arts Equipment Maintenance and Repair Heating, Ventilation, and Air Conditioning Service Laundry/Linen Service Office Machine Maintenance and Repair Painting Services (interior of facility) Plumbing Services Scale Maintenance and Repair Steam Cleaning Services (Carpet, not scales) Telephone Services (cellular, satellite, and regular) Television Equipment Maintenance and Repair Uninterruptible Power Supply Maintenance and Repair 				

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STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

	27.	Are all driver license and fingerprint information forwarded to Contract Services Unit (CSU), along with the contract number for retention after Commander review?	⊠ Yes	□ No	□ N/A	Remarks: This would only apply to the janitorial contract.
	28.	Is CSU advised by the command to determine if adverse information discovered is grounds for canceling the contract (i.e., adverse driver license and/or criminal history information is received regarding the contractor or the contractor's personnel)?	⊠ Yes	□No	□ N/A	Remarks: This would be done if adverse information was discovered.
	29.	Are all invoices, records, and relevant documentation maintained <u>for three years</u> after the final payment of the contract?	☐ Yes	□No	⊠ N/A	Remarks: Invoices are sent to HQ. Area does not see these.
	0.9	Is a log sheet maintained for a diary of activities related to the contract?	☐ Yes	□No	⊠ N/A	Remarks:
	31.	Is a computer file prepared for all contracts administered?	☐ Yes	□No	⊠ N/A	Remarks:
1		Is a spreadsheet prepared listing all expenditures?	☐ Yes	□No	⊠ N/A	Remarks:
		Is the notification to the contractor documented for the start date for services to begin?	☐ Yes	□No	N/A	Remarks: Notified by HQ
-	34.	Is the contractor contacted to determine if all invoices have been received in order to oversee the completion of the contract?	☐ Yes	□No	⊠ N/A	Remarks:
		Do consultant services contracts of \$1,000 or more contain detailed performance criteria and a schedule for performance? (SCM Vol. I, Ch. 3, Section 3.02.1)	☐ Yes	□No	⊠ N/A	Remarks:
	e e	Does the contract file contain the STD. 4 Contractor Evaluation form for consultant contracts? (SCM Vol. I, Ch. 3, Section 3.02.5)	Yes	□No	⊠ N/A	Remarks:
	37.	Does Contract work only begin after approval of the final contract? (SCM Vol. 1, Ch. 4, Section 4.09)	☐ Yes	□No	⊠ N/A	Remarks:
	38.	Are the requirements for Government Code Section 19130 (a) or (b) documented and justified for personal service contracts? (GC 19130 & SCM Vol. I, Ch. 7, Section 7.05)	☐ Yes	□No	⊠ N/A	Remarks:
	39.	Are any contract payments made prior to the final approval and execution of the contract? (SCM Vol. I, Ch. 4, Section 4.09)	☐ Yes	□No	⊠ N/A	Remarks:

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STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Command: Humboldt Area	Division: Northern	Number:
Evaluated by: Sgt. H. J. Rosendahl		Date: 10/06/08
Assisted by: OSSI Kimberly I	Holland	Date: 10/06/08

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.						
TYPE OF INSPECTION	F	7 1 50				
☐ Division Level ☐ Command Level	Lead Inspe	ctor's Signatu	re:			
☐ Executive Office Level ☐ Voluntary Self-Inspection	211		.00			
Follow-up Required: Yes No Follow-up Inspection	Commande	er's Signature:	1 A/c	Date: 10-9.08		
For applicable policy, refer to: HPM 11.2, Chapter 7				•		
 Are participants in the procurement process at the command level familiar with the related policies and procedures for purchasing? 	⊠ Yes	□No	□ N/A	Remarks:		
Have Approvers/reviewers of purchases received procurement training?	⊠ Yes	□No	□ N/A	Remarks: Only the OSSI.		
3. Are prohibited items procured on CHP 43, Purchases Requisitions?	☐ Yes	⊠ No	□ N/A	Remarks:		
 Supplies for personally – owned equipment Commodities for personal use Confirming order Purchases via the internet 						
4. Are separate CHP 43s, Purchase Requisitions, prepared for commodity items obtainable from different suppliers or from different statewide commodity contracts?	Yes	□No	□ N/A	Remarks:		
5. Is all required information entered on the CHP 43, Purchase Requisition?	⊠ Yes	□No	□ N/A	Remarks:		
6/ Are the CHP 43, Purchase Requisitions, numbered consecutively, starting anew at the beginning of each fiscal year (July 1)?	☐ Yes	⊠ No	□ N/A	Remarks: One 43 was lisfiled on each fiscal year binder. This has been corrected.		
7. Are expedited requests for the purchase of goods forwarded to the Assistant Commissioner, Staff, for approval?	⊠ Yes	□No	□ N/A	Remarks: Via Division		

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STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Do specialized items purchased contain the				
appropriate Division, and/or OPI approvals?	⊠ Yes	□ No	□ N/A	Remarks:
9. Are the CHP 43, Purchase Requisitions, competitively bid?	☐ Yes	□No	⊠ N/A	Remarks: If applicable.
10. Does the CHP 315, Price Comparison Worksheet, document at least two price quotations?	☐ Yes	⊠ No	□ N/A	Remarks: No 43s on file which required competitive bid.
11. Are Limited Competitive Bidding purchase requests that limit or restrict the purchase to one specific brand or model justified and in compliance with SAM 3555?	☐ Yes	□ No	⊠ N/A	Remarks:
12. Are Limited Competitive Bidding purchase requests for items that interface with existing departmental equipment in compliance with SAM 3555.3?	☐ Yes	□ No	⊠ N/A	Remarks:
13. Do Non-Competitive Bid (NCB) purchase requests contain the NCB justification and NCB Corrective Action Plan documents?	☐ Yes	□ No	⊠ N/A	Remarks:
Are items checked immediately for content and damage when delivered?	⊠ Yes	□No	□ N/A	Remarks:
15. Is the "received copy" of the purchase order approved, dated, and forwarded to the Fiscal Management Section (FMS), Account Payable Unit, within three business days of receipt, if all items are accepted?	⊠ Yes	□No	□ N/A	Remarks: Whenever possible.
Are freight and/or packing slips attached to the received copy of the purchase order and sent to FMS?	☐ Yes	⊠ No	□ N/A	Remarks: Clerical advised of this requirement.
17. Is FMS provided a photocopy of the purchase order and any approved freight or packing slips as acknowledgement that a portion of the order has been received?	☐ Yes	⊠ No	□ N/A	Remarks: Clerical apprised of this requirement for future.
18. Is the original "received copy" retained by the command for completion and forwarding to the FMS when the complete shipment is received?	⊠ Yes	□No	□ N/A	Remarks:
19. Are <u>Damaged items</u> delivered by common carrier acknowledged on the freight bill by the carrier's driver before being accepted?	⊠ Yes	□ No	□ N/A	Remarks:

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STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

20 to Durchasing Consists Unit (DOLD) - CC. 1				
20. Is Purchasing Services Unit (PSU) notified immediately by telephone, followed in writing either by a memorandum or e-mail, requesting cancellation of the requisition or deletion of an item, if it is determined that a commodity requested on a CHP 43 is no longer needed and a purchase order has not yet been prepared?	☐ Yes	□ No	⊠ N/A	Remarks:
21. Are open purchase orders periodically reviewed and investigated to ensure the orders are not opened for an unreasonable length of time. (SAM 8422.0)	⊠ Yes	□ No	□ N/A	Remarks: As needed, i.e. Office Depot.
22. Are copies of the purchase requisitions and purchase orders maintained for three years after payment? (SCM Vol. II, Ch. 11, Topic 4)	⊠ Yes	□ No	□ N/A	Remarks:
23. Are decisions documented to create a paper trail documenting the basis of the decisions made for the purchase? (SCM Vol II Ch. 2, Topic 11)	⊠ Yes	□ No	□ N/A	Remarks: e.g. Staff meeting minutes
24. Are purchase orders split to evade competitive bidding requirements or to circumvent the Department's delegated purchase authority limits? (Public Contracts Code Section 10329)	☐ Yes	⊠ No	□ N/A	Remarks:

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STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements
Cal-Card Program

Command: Humboldt	Division: Northern	Number:			
Evaluated by: Kimberly Holland OSSI		Date: 11/10/08			
Assisted by:		Date:			

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

TYPE OF INSPECTION	Lead Inspector's Signature:
☐ Division Level ☐ Command Level	Lead Inspector's digitature.
Executive Office Level	Rimberly Hulland
Follow-up Required:	Remberly Hulland Commander's Signature: Willowseplall Me 11-10-08
For applicable policy, refer to: HPM 11.2, Chapter 3	NINDSCHOOLS NEE 11-10-08
Are all employees associated with the use of the Cal- Card program completing the CHP 78S, Conflict of Interest Statement, Employee, form?	☐ Yes ☐ No ☐ N/A Remarks:
Are STD. 21 Drug Free Workplace certifications maintained within the Cal Card command file for each vendor utilized?	⊠ Yes □ No □ N/A Remarks:
3. Are STD. 204 Payee Data Record forms maintained in the Cal Card command file for each vendor utilized?	⊠ Yes □ No □ N/A Remarks:
4. Are California Integrated Waste Management Board Form 74 documents maintained for each vendor utilized?	☐ Yes ☐ No ☐ N/A Remarks:
5. If the vendor is a small business or DVBE is utilized, is the certification letter from the Department of General Services maintained in the file?	
6. When fair and reasonable is utilized, is the fair and reasonable method documented and properly justified?	
7. Are purchases split into multiple transactions in order to circumvent transaction purchase limits?	☐ Yes ☐ No ☐ N/A Remarks:
Does the CHP 317 Cal Card Log fully describe the purchase?	☐ Yes ☐ No ☐ N/A Remarks:
9. Are bank statements reconciled with the CHP 317 Cal Card Log and the receipts/invoices?	

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STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

COMMAND INSPECTION PROGRAM

INSPECTION CHECKLIST

Chapter 3, Command Procurements

Cal-Card Program

⊠ Yes	□ No	□ N/A	Remarks:
⊠ Yes	□No	□ N/A	Remarks:
⊠ Yes	□ No	□ N/A	Remarks:
⊠ Yes	□No	□ N/A	Remarks:
⊠ Yes	□ No	□ N/A	Remarks:
Yes	⊠ No	□ N/A	Remarks: ReDs & ARMS training scheduled for late 08.
Yes	⊠ No	□ N/A	Remarks:
	YesYesYesYesYesYes	Yes □ No	Yes No N/A Yes No N/A Yes No N/A Yes No N/A Yes No N/A

CALIFORNIA HIGHWAY PATROL

STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements X-Number Program

Command: Humboldt	Division: Northern	Number:
Evaluated by: H.J. Rosendahl		Date: 03/13/09
Assisted by: Kimberly Holland		Date: 03/03/09

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

TYPE OF INSPECTION	Lead Inspector's Signature:
☐ Division Level ☐ Command Level	
☐ Executive Office Level ☐ Voluntary Self-Inspection	It landel
Follow-up Required: ☐ Follow-up Inspection (☐ Yes ☐ No	Commander's Signature Date: 3/3/09
For applicable policy, refer to: HPM 11.1, Chapter 23	
Are multiple X Numbers awarded to the same vendor to circumvent the \$4,999 contract limit?	☐ Yes ☐ N/A Remarks:
Does all X Number file documentation contain the STD. 204 Payee Data Record?	
3. Do X Numbers requiring a contract (i.e., janitorial or landscaping) have prior approval from the Business Services Section commander?	
4. Are X Number requests made prior to the date the services are performed?	
5. Are X Numbers issued for a one-time use?	
6. Are prohibited services performed using an X Number?	☐ Yes ☑ No ☐ N/A Remarks:
7. Are X Numbers used for the procurement of a service and not the purchase of a commodity?	
Are X Numbers issued for telecommunications related services pre-approved by Telecommunications Section?	☐ Yes ☐ No ☐ N/A Remarks:
 Do X Numbers used for facilities related services (such as roof repair, electrical) costing over \$1,000 have prior approval from Facilities Section? 	
10. Do X Numbers issued for lapsed contractual agreements have prior approval by the appropriate Assistant Commissioner?	☐ Yes ☐ No ☑ N/A Remarks:

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STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements X-Number Program

11. Do all X Numbers awarded to a non-small business vendor contain three price quotations?	☐ Yes	□No	⊠ N/A	Remarks:All small businesses
12. Do all X Numbers awarded to a small business vendor contain the small business certification from the Department of General Services (DGS)?	⊠ Yes	□No	□ N/A	Remarks:
13. Does the file documentation contain the STD. 21 Drug Free workplace certification for X Number vendors?	⊠ Yes	□ No	□ N/A	Remarks:
14. Do emergency service X Numbers document and justify the emergency?	⊠ Yes	□No	□ N/A	Remarks:
15. Is the itemized invoice for each X Number service maintained in the command's files?	⊠ Yes	□No	□ N/A	Remarks:

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STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Cal-Card Program

Command: Humboldt	Division: Northern	Number:
Evaluated by: Sgt. H.J. Rose	endahl	Date: 03/05/09
Assisted by:		Date:

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

TYPE OF INSPECTION					
TIPE OF INSPECTION		Lead Inspe	ctor's Signatu	re:	
☐ Division Level x Commar	nd Level	Aller	recoled	L.	
	ry Self-Inspection	Ya			
Follow-up Required:	ow-up Inspection (Commande	Signature:	Carn	Date: 3 9 69
For applicable policy, refer to: HPM 11					
 Are all employees associated with the Card program completing the CHP Interest Statement, Employee, form 	78S, Conflict of	x Yes	□No	□ N/A	Remarks:
 Are STD. 21 Drug Free Workplace maintained within the Cal Card comeach vendor utilized? 	nmand file for	x Yes	□ No	□ N/A	Remarks:
 Are STD. 204 Payee Data Record f in the Cal Card command file for ea utilized? 	nch vendor	x Yes	□ No	□ N/A	Remarks:
4. Are California Integrated Waste Ma Form 74 documents maintained for utilized?	each vendor	x Yes	□No	□ N/A	Remarks: When appropriate
 If the vendor is a small business or is the certification letter from the De General Services maintained in the 	epartment of file?	x Yes	No	□ N/A	Remarks: List of DGS SB/MB/DVSB in file from website.
6. When fair and reasonable is utilized reasonable method documented an justified?	id properly	x Yes	□ No	□ N/A	Remarks:
 Are purchases split into multiple tra to circumvent transaction purchase 	limits?	Yes	x No	□ N/A	Remarks:
Does the CHP 317 Cal Card Log fu purchase?		x Yes	□No	□ N/A	Remarks:
Are bank statements reconciled wit Cal Card Log and the receipts/invoi	h the CHP 317 ces?	x Yes	□No	□ N/A	Remarks:

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STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Cal-Card Program

10.	Is the CHP 317 Cal Card Log properly authorized and maintained?	x Yes	□ No	□ N/A	Remarks:
11.	Are credit invoices/receipts for returned items maintained with the bank statement?	☐ Yes	□No	x N/A	Remarks:
12.	Do non-itemized purchase receipts/invoices document the purchase by listing the commodity, quantity, and unit price of the item(s) purchased on the bank statement.	x Yes	□ No	□ N/A	Remarks:
13.	Are Cal Cards maintained in a secure area?	x Yes	□No	□ N/A	Remarks:
14.	Are Cal Card purchases pre-approved by the commander?	x Yes	□ No	□ N/A	Remarks:
15.	Have all cardholders received training on the Department's procurement processes?	x Yes	□No	□ N/A	Remarks:
16.	Are item(s) purchased with the Cal Card prohibited by departmental policy?	☐ Yes	x No	□ N/A	Remarks:

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STATE OF CALIFORNIA
SPARTMENT OF CALIFORNIA HIGHWAY PATROL
プOMMAND INSPECTION PROGRAM

INSPECTION CHECKLIST
Chapter 3, Command Procurements
Purchases

Command:	Division:	Number.
Susanville	Northern	140
Evaluated by:	Date:	
Penny Mahenski, OSSI		10/29/08
Assisted by:	Date:	
Erik Liband, Lieu	utenant	10/29/08

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

TYPE	OF INSPECTION		Lead Insp	ector's Signat	ure:			
		☑ Command Level ☐ Voluntary Self-Inspection	Re	~~~	m	aher	ski	
F	ollow-up Required; ☐ Yes ₩No	☐ Follow-up Inspection	Command	ler's Signature	3		Date: 10/29/08	
For a	applicable policy, refer to:	HPM 11.2, Chapter 7						
	 Are participants in the pro command level familiar w procedures for purchasin 	ith the related policies and	⊠ Yes	☐ No	□ N/A	Remarks:	8	
2	. Have Approvers/reviewer procurement training?	s of purchases received	⊠ Yes	□No	□ N/A	Remarks:		
3	. Are prohibited items proc Requisitions?	ured on CHP 43, Purchases	☐ Yes	⊠ No	□ N/A	Remarks:		×
	 Supplies for perse Commodities for Confirming order Purchases via the 							
4,	Are separate CHP 43s, P prepared for commodity it different suppliers or from commodity contracts?	ems obtainable from	X Yes	- ⊠ No	□ N/A	Remarks:	r.	
5.	Is all required information Purchase Requisition?	entered on the CHP 43,	⊠ Yes	□No	□ N/A	Remarks:		5
6.	Are the CHP 43, Purchase consecutively, starting and fiscal year (July 1)?	e Requisitions, numbered ew at the beginning of each	⊠ Yes	□ No	□ N/A	Remarks:	54	
7.	Are expedited requests fo forwarded to the Assistant approval?		⊠ Yes	□ No	□ N/A	Remarks:		

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COMMAND INSPECTION PROGRAM

INSPECTION CHECKLIST

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	8.	Do specialized items purchased contain the appropriate Division, and/or OPI approvals?	⊠ Yes	□ No	□ N/A	Remarks:
	9.	Are the CHP 43, Purchase Requisitions, competitively bid?	⊠ Yes	□ No	□ N/A	Remarks:
	10	Does the CHP 315, Price Comparison Worksheet, document at least two price quotations?	⊠ Yes	□ No	□ N/A	Remarks:
	11	. Are Limited Competitive Bidding purchase requests that limit or restrict the purchase to one specific brand or model justified and in compliance with SAM 3555?	⊠ Yes	□No	□ N/A	Remarks:
	12	Are Limited Competitive Bidding purchase requests for items that interface with existing departmental equipment in compliance with SAM 3555.3?	⊠ Yes	□ No	₩ N/A	Remarks:
5	æ	Do Non-Competitive Bid (NCB) purchase requests contain the NCB justification and NCB Corrective Action Plan documents?	X Yes	□No	❷ N/A	Remarks:
		Are items checked immediately for content and damage when delivered?	⊠ Yes	☐ No	□ N/A	Remarks:
	15.	Is the "received copy" of the purchase order approved, dated, and forwarded to the Fiscal Management Section (FMS), Account Payable Unit, within three business days of receipt, if all items are accepted?	⊠ Yes	□ No	□ N/A	Remarks:
		Are freight and/or packing slips attached to the received copy of the purchase order and sent to FMS?	☐ Yes	⊠ No	□ N/A	Remarks: Area's practice has been to retain for three years. We will now comply by attaching the freight or packing alips to the received copy.
	17.	Is FMS provided a photocopy of the purchase order and any approved freight or packing slips as acknowledgement that a portion of the order has been received?	⊠ Yes	□ No	□ N/A	Remarks:
		Is the original "received copy" retained by the command for completion and forwarding to the FMS when the complete shipment is received?	⊠ Yes	□No	□ N/A	Remarks:
\mathcal{I}		Are <u>Damaged items</u> delivered by common carrier acknowledged on the freight bill by the carrier's driver before being accepted?	⊠ Yes	□ No	□ N/A	Remarks:

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INSPECTION CHECKLIST

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	20. Is Purchasing Services Unit (PSU) notified immediately by telephone, followed in writing either by a memorandum or e-mail, requesting cancellation of the requisition or deletion of an item, if it is determined that a commodity requested on a CHP 43 is no longer needed and a purchase order has not yet been prepared?	⊠ Yes	□No	□ N/A	Remarks:
	 Are open purchase orders periodically reviewed and investigated to ensure the orders are not opened for an unreasonable length of time. (SAM 8422.0) 	⊠ Yes	□ No	□ N/A	Remarks:
	22. Are copies of the purchase requisitions and purchase orders maintained for three years after payment? (SCM Vol. II, Ch. 11, Topic 4)	⊠ Yes	□ No	□ N/A	Remarks:
7	23. Are decisions documented to create a paper trail documenting the basis of the decisions made for the purchase? (SCM Vol II Ch. 2, Topic 11)	⊠ Yes	☐ No	□ N/A	Remarks:
	24. Are purchase orders split to evade competitive bidding requirements or to circumvent the Department's delegated purchase authority limits? (Public Contracts Code Section 10329)	☐ Yes	⊠ No	□ N/A	Remarks:

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DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

OMIMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements X-Number Program

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Command:	Division:	Number:
Susanville	Northern	140
Evaluated by:	20	Date:
Penny Mahen	ski, OSSI	10/29/08
Assisted by:		Date:
Erik Liband, L	ieutenant	10/29/08

INSTRUCTIONS: Answer individual Items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

TYPE	OF INSPECTION	Lead Inspector's Signature;					
	vision Level	Penny Mahenski					
F	ollow-up Required: ☐ Follow-up Inspection ☐ Yes ☑ No	Comman	ter's Signature		Date: 10/29/08		
For a	pplicable policy, refer to: HPM 11.1, Chapter 23						
1.	Are multiple X Numbers awarded to the same vendor to circumvent the \$4,999 contract limit?	☐ Yes	⊠ No	□ N/A	Remarks;		
2.	Does all X Number file documentation contain the STD. 204 Payee Data Record?	⊠ Yes	□No	□ N/A	Remarks:		
3.	Do X Numbers requiring a contract (i.e., janitorial or landscaping) have prior approval from the Business Services Section commander?	⊠ Yes	□No	□ N/A	Remarks:		
	Are X Number requests made prior to the date the services are performed?	⊠ Yes	☐ No	□ N/A	Remarks;		
5.	Are X Numbers issued for a one-time use?	⊠ Yes	□No	□ N/A	Remarks:		
	Are prohibited services performed using an X Number?	☐ Yes	⊠ No	□ N/A	Remarks:		
7.	Are X Numbers used for the procurement of a service and not the purchase of a commodity?	⊠ Yes	, 🗌 No	□ N/A	Remarks;		
8.	related services pre-approved by Telecommunications Section?	☐ Yes	⊠ No	□ N/A	Remarks:		
9.	Do X Numbers used for facilities related services (such as roof repair, electrical) costing over \$1,000 have prior approval from Facilities Section?	⊠ Yes	□ No	□ N/A	Remarks:		
) 10.	Do X Numbers issued for lapsed contractual agreements have prior approval by the appropriate Assistant Commissioner?	☐ Yes	□ No	⊠ N/A	Remarks: Never experienced this.		

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DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

COMMAND INSPECTION PROGRAM

MSPECTION CHECKLIST

Chapter 3, Command Procurements X-Number Program

Do all X Numbers awarded to a non-small business vendor contain three price quotations?	⊠ Yes	□No	□ N/A	Remarks: When possible. We are a rural area with limited services,
12. Do all X Numbers awarded to a small business vendor contain the small business certification from the Department of General Services (DGS)?	⊠ Yes	□ No	□ N/A	Remarks:
Does the file documentation contain the STD. 21 Drug Free workplace certification for X Number vendors?	⊠ Yes	□No	□ N/A	Remarks:
14. Do emergency service X Numbers document and justify the emergency?	⊠ Yes	□ No	□ N/A	Remarks:
15. Is the itemized invoice for each X Number service maintained in the command's files?	⊠ Yes	□ No	□ N/A	Remarks:

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STATE OF CALIFORNIA PEPARTMENT OF CALIFORNIA HIGHWAY PATROL

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Contracts

Command:	Number:				
Susanville Northern		140			
Evaluated by:	Date:				
Penny Mahens	ski, OSSI	10/29/08			
Assisted by:	*	Date:			
Erik Liband, Li	eutenant	10/29/08			

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

TYPE OF INSPECTION				Lead Inspector's Signature:					
		Command Level	Renny Mahensk.						
☐ Executive Office Level ☐ Voluntary Self-Inspection			1-1						
F	ollow-up Required: ☑ Yes	Follow-up Inspection	Command	er's Signature		Dete: 10/29/08			
For a	applicable policy, refer to:	HPM 11.1, Chapter 22							
	Is a CHP 78 Contract Req service contracts which an the estimated dollar value?	e repetitive, regardless of	☐ Yes	□No	⊠ N/A	Remarks: Not done at Area.			
2.	Is a CHP 78 Contract Rec services exceeding \$4,999		☐ Yes	□ No	⊠ N/A	Remarks: Not done et Area,			
3.	Is the Office of Primary Into numbering beginning with three-digit location code us contract payable listed on the	the requesting command sed, followed by "CP" for	⊠ Yes	□ No	□ N/A	Remarks:			
4.	Is the performance of contrant documented?	act services monitored	⊠ Yes	□No	□ N/A	Remarks:			
5.	Are all copies of correspon maintained?	dence with the vendor	⊠ Yes	□No	□ N/A	Remarks:			
6.	Are letters for contracts doc which outline any problems non-performance of the ver	related to substandard or	⊠ Yes	□No	□ N/A	Remarks:			
7.	Is the final product to be de specifically and in as much CHP 78?		☐ Yes	□No	⊠ N/A	Remarks; Not done at Area.			
8.	Are all required levels of ap including the required docu for expedite and emergency Chapter 22, before forward 78A?	mentation and approvals / contracts per HPM 11.1,	☐ Yeş	□ No	⊠ N/A	Remarks; Not done at Area.			

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INSPECTION CHECKLIST

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	9.	Are requests for contract services less than six months from the anticipated start date of the contract pre-approved by Assistant Commissioner, Staff, for expedited processing?	Yes	□ No	⊠ N/A	Remarks:
	10	Is all work completed and accepted by the Department before expiration of contract agreement?	⊠ Yes	☐ No	□ N/A	Remarks:
	11	. Are contract services performed according to the quality, quantity, objectives, timeframes, and in the manner specified in the contract (e.g., review progress reports and interim products)?	⊠ Yes	□No	□ N/A	Remarks:
	12	. Are invoices for payment reviewed and approved to substantiate expenditures for work performed and to prevent penalties being assessed?	⊠ Yes	□No	□ N/A	Remarks:
	13	. Are contract expenditures monitored to ensure there are sufficient funds to pay for all services rendered as required by contract?	⊠ Yes	□ No	□ N/A	Remarks:
		Does the requestor verify the contractor has fulfilled all requirements of the contract before approving the final invoice?	⊠ Yes	. No	□ N/A	Remarks:
	15.	Is the final invoice identified and approved, as appropriate and forwarded to Fiscal Management Section for payment?	⊠ Yes	□ No	□ N/A	Remarks:
	16.	Are all applicable form sections of the CHP 78 completed?	Yes	□No	⊠ N/A	Remarks: Not done at Area
,	1	Do emergency contracts document and justify a sudden, unexpected occurrence that poses a clear and imminent danger, requiring immediate action to mitigate the loss or impairment of life, health, property, or essential public services?	☐ Yes	□ No	⊠ N/A	Remarks:
	18.	Are all employees associated with the management of a contract completing the CHP 78S, Conflict of Interest Statement, Employee, form?	☐ Yes	□ No	⊠ N/A	Remarks: All contracts for Area are prepared at Facilities.
)	19.	Are problems concerning the contractor's performance fully documented in writing and made a part of the contract manager's contract file?	⊠ Yes	□ No	□ N/A	Remarks;
		Are contract amendment request dollar amounts increased more than 30%?	□Yes	□No	⊠ N/A	Remarks:

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COMMAND INSPECTION PROGRAM

INSPECTION CHECKLIST

	21	. Is the length of the contract amendment request more than one year?	☐ Yes	□No	⊠ N/A	Remarks: Not done at Area.
	22.	Are amendments requested before the expiration of the original contract?	⊠ Yes	□No	□ N/A	Remarks:
	23.	Is a service contract on a CHP 78, Contract Request initiated for any commercial meeting/conference room rental which is expected to exceed \$4,999.99 in total cost?	☐ Yes	□No	⊠ N/A	Remarks:
	24.	Do conference room rental costs exceeding the \$500 per day limit have pre-approval from Assistant Commissioner, Staff?	☐ Yes	. □ No	⊠ N/A	Remarks:
	25.	Are California Department of Justice (DOJ) and Federal Bureau of Investigation (FBI) fingerprint checks and driver license checks conducted for all of the following types of agreements:	☐ Yes	⊠ No	□ N/A	Remarks: Had one temp janitor for less than 90 days. We ran DL only as the hours were such that she was continuously supervised.
		 (1) Avionics Maintenance and Repair (2) Hellcopter Maintenance and Repair (3) Instructor Services (on-site) (4) Janitorial Services (5) Consulting Services 				
		Is a <u>driver license check</u> conducted for, but not limited to, all of the following types of agreements, if the contractor and/or specifically assigned personnel are scheduled to be on-site for more than 30 days:	☐ Yes	□ No	⊠ N/A	Remarks:
		(1) Alarm and Fire Alarm Monitoring (2) Camera Maintenance and Repair (3) Carpet Installation (4) Diesel Generator Maintenance and Repair (5) Dishwasher Maintenance and Repair (6) Elevator Maintenance and Repair (7) Fire Extinguisher Service (8) Garage Door Maintenance and Repair (9) Graphic Arts Equipment Maintenance and Repair (10) Heating, Ventilation, and Air Conditioning Service (11) Laundry/Linen Service (12) Office Machine Maintenance and Repair (13) Painting Services (interior of facility) (14) Plumbing Services (interior of facility) (15) Scale Maintenance and Repair (16) Steam Cleaning Services (Carpet, not scales) (17) Telephone Services (cellular, satellite, and regular) (18) Television Equipment Maintenance and Repair (19)Uninterruptible Power Supply Maintenance and Repair				2 10
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☆OMMAND INSPECTION PROGRAMINSPECTION CHECKLIST

		Are all driver license and fingerprint information forwarded to Contract Services Unit (CSU), along with the contract number for retention after Commander review?	Yes	☐ No	⊠ N/A	Remarks:
	28	. Is CSU advised by the command to determine if adverse information discovered is grounds for canceling the contract (i.e., adverse driver license and/or criminal history information is received regarding the contractor or the contractor's personnel)?	Yes	□ No	⊠ N/A	Remarks:
	29.	Are all invoices, records, and relevant documentation maintained for three years after the final payment of the contract?	⊠ Yes	☐ No	□ N/A	Remarks:
		Is a log sheet maintained for a diary of activities related to the contract?	⊠ Yes	□No	□ N/A	Remarks:
5	31.	Is a computer file prepared for all contracts administered?	⊠ Yes	□No	□ N/A	Remarks:
Ĺ		Is a spreadsheet prepared listing all expenditures?	☐ Yes	⊠ No	□ N/A	Remarks: We anticipate tracking expenditures via ARMS training.
	33.	Is the notification to the contractor documented for the start date for services to begin?	☐ Yes	□ No	⊠ N/A	Remarks:
	34.	Is the contractor contacted to determine if all invoices have been received in order to oversee the completion of the contract?	⊠ Yes	□ No	□ N/A	Remarks:
	3 5.	Do consultant services contracts of \$1,000 or more contain detailed performance criteria and a schedule for performance? (SCM Vol. I, Ch. 3, Section 3.02.1)	☐ Yes	☐ No	⊠ N/A	Remarks:
		Does the contract file contain the STD. 4 Contractor Evaluation form for consultant contracts? (SCM Vol. I, Ch. 3, Section 3.02.5)	☐ Yes	□ No	⊠ N/A	Remarks:
		Does Contract work only begin after approval of the final contract? (SCM Vol. 1, Ch. 4, Section 4.09)	⊠ Yes	☐ No	□ N/A	Remarks:
		Are the requirements for Government Code Section 19130 (a) or (b) documented and justified for personal service contracts? (GC 19130 & SCM Vol. I, Ch. 7, Section 7.05)	☐ Yes	☐ No	⊠ N/A	Remarks:
		Are any contract payments made prior to the final approval and execution of the contract? (SCM Vol. I, Ch. 4, Section 4.09)	☐ Yes	⊠ No	□ N/A	Remarks:

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INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up inspection" box shall be marked and only deficient items need to be re-inspected.

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TYPE OF INSPECTION				Lead Inspector's Signature:					
│ □ Di	vísion Level	☑ Command Level	(+)	V	nah	· moder		
	recutive Office Level	☐ Voluntary Self-Inspection	\\	سر ا					
F	ollow-up Required: ☑ Yes ☑ No	☐ Follow-up Inspection	Command	ler's Signatur	9:		Date: 10/29/08		
		o: HPM 11.2, Chapter 3	78						
	Card-program completion Interest Statement, Empley Interest Statement, Empley Interest Statement, Empley Interest Statement, Empley Interest Inter	ciated with the use of the Cal- ng the CHP 78S, Conflict of bloyee, form?	⊠ Yes	□No	□ N/A	Remarks:			
2.	maintained within the C each vendor utilized?	Workplace certifications al Card command file for	⊠ Yes	☐ No	□ N/A	Remarks:			
3.	in the Cal Card commar utilized?		⊠ Yes	□ No	□ N/A	Remarks:			
4.	Are California Integrated Form 74 documents mai utilized?	d Waste Management Board intained for each vendor	⊠ Yes	□ No	□ N/A	Remarks:	4		
5.	is the certification letter t General Services mainta	ained in the file?	⊠ Yes	□ No	□ N/A	Remarks:	, ,		
6.	When fair and reasonab reasonable method docu justified?	le is utilized, is the fair and umented and properly	⊠ Yes	□ No	□ N/A	Remarks:	W. 100-00-00-00-00-00-00-00-00-00-00-00-00-		
7.	to circumvent transaction	•	☐ Yes	⊠ No	□ N/A	Remarks:			
8.	purchase?	Card Log fully describe the	⊠ Yes	□ No	□ N/A	Remarks:			
9.	Are bank statements record Card Log and the record	onciled with the CHP 317 ceipts/invoices?	⊠ Yes	□ No	□ N/A	Remarks:			

2 of 2

STATE OF CALIFORNIA - DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

DOMMAND INSPECTION PROGRAM

INSPECTION CHECKLIST

Chapter 3, Command Procurements Cal-Card Program

	10. Is the CHP 317 Cal Card Log properly authorized and maintained?	⊠ Yes	□No	□ N/A	Remarks:
	11. Are credit invoices/receipts for returned items maintained with the bank statement?	⊠ Yes	□ No	□ N/A	Remarks:
	 Do non-itemized purchase receipts/invoices document the purchase by listing the commodity, quantity, and unit price of the item(s) purchased on the bank statement. 	⊠ Yes	□ No	□ N/A	Remarks:
	13. Are Cal Cards maintained in a secure area?	⊠ Yes	∏ No	□ N/A	Remarks:
	14. Are Cal Card purchases pre-approved by the commander?	⊠ Yes	□ No	□ N/A	Remarks:
•	15. Have all cardholders received training on the Department's procurement processes?	□Yes	⊠ No	□ N/A	Remarks: Neither Cal Card holder has been provided training.
)	16. Are item(s) purchased with the Cal Card prohibited by departmental policy?	☐ Yes	⊠ No	□ N/A	Remarks:

STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

COMMAND INSPECTION PROGRAM EXCEPTIONS DOCUMENT

Command: Division: Northern		Chapter.
Inspected by: OSSI Penny I	Mahenski	Date: 10/29/08

INSTRUCTIONS: This document shall be typed. Check appropriate boxes as necessary, or fill in the blanks as indicated. Enter the chapter number of the inspection in the Chapter Inspection number. Under "Forward to:" enter the next level of command where the document shall be routed to and its due date. This document shall be utilized to document innovative practices, suggestions for statewide improvement, identified deficiencies, corrective action plans, and may be used to appeal findings. A CHP 51 Memorandum may be used if additional space is required.

additional space is required.		4					
TYPE OF INSPECTION Division Level Command	Level	 ☐ Corrective Action Plan Included ☐ Appeal Included ☐ Attachments Included 					
Follow-up Required:	Forward to: Due Date:	Commander's Signature:	Date:				
Chapter Inspection: Illines - Inspector's Comments Regal	Commedical Productions						
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Command Suggestions for Si	tatewide Improvement:						
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Neither Cal Card holder has been provided training on the Department's procurement processes.

Inspector's Findings:

STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL
COMMAND INSPECTION PROGRAM
EXCEPTIONS DOCUMENT
Page 2

Command:	Division:	Chapter:
Susanville	Northern	3
Inspected by: OSSI Penny Mahenski		Date: 10/29/08

Commander's Response:	
A CONTRACTOR OF	

Inspecto	r's C	omm	ents:
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Required Action

Corrective Action Plan/Timeline

The Susanville Area Automotive Technician and the Office Assistant will receive Cal Card training by the end of the First Quarter, 2009.

STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL
COMMAND INSPECTION PROGRAM
EXCEPTIONS DOCUMENT

Page 3

Command:	Division:	Chapter:
Susanville	Northern	3
Inspected by: OSSI Penny Mahenski	A K	Date: 10/29/08

Commar	der's Basis	for Appeal:			~~~		NA NAMES	~	3/	
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<u> </u>			\$10.00 R
Kead Inspector's Signature:	(b) 5	Date: 11/20/2008	Đ.
Responding Commander's Signature (for appeal):	•:	Date:	74
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STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Purchases

Command: Redding - 135	Division:	Number:	
Evaluated by: Dorothy Romeo	Date: 10/30/08		
Assisted by:	Date:		

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected. TYPE OF INSPECTION Lead Inspector's Signature: □ Command Level Division Level ☐ Executive Office Level □ Voluntary Self-Inspection Date: Commander's Signature: Follow-up Required: ☐ Follow-up Inspection 10/30/08 Yes No. For applicable policy, refer to: HPM 11.2, Chapter 7 Are participants in the procurement process at the Remarks: command level familiar with the related policies and ☐ No □ N/A procedures for purchasing? 2. Have Approvers/reviewers of purchases received Remarks: procurement training? □ No □ N/A 3. Are prohibited items procured on CHP 43, Purchases Remarks: Requisitions? ☐ Yes ⊠ No \square N/A Supplies for personally – owned equipment Commodities for personal use Confirming order Purchases via the internet 4. Are separate CHP 43s, Purchase Requisitions. Remarks: prepared for commodity items obtainable from X Yes □ No □ N/A different suppliers or from different statewide commodity contracts? 5. Is all required information entered on the CHP 43, Remarks: Purchase Requisition? ⊠ Yes ☐ No □ N/A 6. Are the CHP 43, Purchase Requisitions, numbered Remarks: consecutively, starting anew at the beginning of each X Yes \square N/A □No fiscal year (July 1)? 7. Are expedited requests for the purchase of goods Remarks: forwarded to the Assistant Commissioner, Staff, for ✓ Yes □ No \square N/A approval?

STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

			and the second		
8	. Do specialized items purchased contain the appropriate Division, and/or OPI approvals?	⊠ Yes	☐ No	□ N/A	Remarks:
9	Are the CHP 43, Purchase Requisitions, competitively bid?	⊠ Yes	☐ No	□ N/A	Remarks:
1	0. Does the CHP 315, Price Comparison Worksheet, document at least two price quotations?	⊠ Yes	☐ No	□ N/A	Remarks:
1	 Are Limited Competitive Bidding purchase requests that limit or restrict the purchase to one specific brand or model justified and in compliance with SAM 3555? 	⊠ Yes	□ No	□ N/A	Remarks:
1:	 Are Limited Competitive Bidding purchase requests for items that interface with existing departmental equipment in compliance with SAM 3555.3? 	⊠ Yes	☐ No	□ N/A	Remarks:
13	B. Do Non-Competitive Bid (NCB) purchase requests contain the NCB justification and NCB Corrective Action Plan documents?	⊠ Yes	□ No	□ N/A	Remarks:
14	Are items checked immediately for content and damage when delivered?	⊠ Yes	□No	□ N/A	Remarks:
15	i. Is the "received copy" of the purchase order approved, dated, and forwarded to the Fiscal Management Section (FMS), Account Payable Unit, within three business days of receipt, if all items are accepted?	⊠ Yes	□No	□ N/A	Remarks:
16	Are freight and/or packing slips attached to the received copy of the purchase order and sent to FMS?	⊠ Yes	□No	□ N/A	Remarks:
17	. Is FMS provided a photocopy of the purchase order and any approved freight or packing slips as acknowledgement that a portion of the order has been received?	⊠ Yes	□.No	□ N/A	Remarks:
	. Is the original "received copy" retained by the command for completion and forwarding to the FMS when the complete shipment is received?	⊠ Yes	□No	□ N/A	Remarks:
19	Are <u>Damaged items</u> delivered by common carrier acknowledged on the freight bill by the carrier's driver before being accepted?	⊠ Yes	□No	□ N/A	Remarks:
		1			

STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

	20.	Is Purchasing Services Unit (PSU) notified immediately by telephone, followed in writing either by a memorandum or e-mail, requesting cancellation of the requisition or deletion of an item, if it is determined that a commodity requested on a CHP 43 is no longer needed and a purchase order has not yet been prepared?	⊠ Yes	□ No	□ N/A	Remarks:
		Are open purchase orders periodically reviewed and investigated to ensure the orders are not opened for an unreasonable length of time. (SAM 8422.0)	⊠ Yes	□ No	□ N/A	Remarks:
	22.	Are copies of the purchase requisitions and purchase orders maintained for three years after payment? (SCM Vol. II, Ch. 11, Topic 4)	⊠ Yes	□ No	□ N/A	Remarks:
A A		Are decisions documented to create a paper trail documenting the basis of the decisions made for the purchase? (SCM Vol II Ch. 2, Topic 11)	⊠ Yes	□ No	□ N/A	Remarks:
		Are purchase orders split to evade competitive bidding requirements or to circumvent the Department's delegated purchase authority limits? (Public Contracts Code Section 10329)	Yes	⊠ No	. □ N/A:	Remarks:

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STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements X-Number Program

Command: Redding - 135	Division:	Number:
Evaluated by: Dorothy Romeo	 	Date: 10/28/08
Assisted by:		Date:

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

TYPE OF INSPECTION			Lead Inspector's Signature:						
☐ Division Level		⊠ Command Level	l Qu	Dorothy Romeo					
☐ Executive Office	☐ Executive Office Level ☐ Voluntary Self-Inspection								
Follow-up Required:			Commander's Signature: Date: 10 30 08						
For applicable policy, refer to: HPM 11.1, Chapter 23			<i>y</i>			· · · · · · · · · · · · · · · · · · ·			
	1. Are multiple X Numbers awarded to the same vendor to circumvent the \$4,999 contract limit?		☐ Yes	⊠ No	□ N/A	Remarks;			
	Number file o Payee Data R	locumentation contain the ecord?	⊠ Yes	□No	□ N/A	Remarks:			
landscapir		a contract (i.e., janitorial or approval from the Business ander?	⊠ Yes	□ No	□ N/A	Remarks:			
services a	Are X Number requests made prior to the date the services are performed?		⊠ Yes	□No	□ N/A	Remarks:			
5. Are X Nun	5. Are X Numbers issued for a one-time use?		⊠ Yes	□No	□ N/A	Remarks:			
6. Are prohib Number?	,		☐ Yes	⊠ No	□ N/A	Remarks:			
	Are X Numbers used for the procurement of a service and not the purchase of a commodity?		⊠ Yes	□No	□ N/A	Remarks:			
related ser Telecomm	. Are X Numbers issued for telecommunications related services pre-approved by Telecommunications Section?		☐ Yes	⊠ No	□ N/A	Remarks: These services are covered under contracts through Telecommunications Section.			
(such as ro	of repair, elec	acilities related services trical) costing over \$1,000 Facilities Section?	⊠ Yes	□No	□ N/A	Remarks:			
agreement		lapsed contractual oproval by the appropriate	⊠ Yes	□No	□ N/A	Remarks:			

STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements X-Number Program

11	Do all X Numbers awarded to a non-small business vendor contain three price quotations?	☐ Yes	⊠ No	□ N/A	Remarks: Three vendors may not be available in this area.
12	Do all X Numbers awarded to a small business vendor contain the small business certification from the Department of General Services (DGS)?	⊠ Yes	□ No	□ N/A	Remarks:
13	Does the file documentation contain the STD. 21 Drug Free workplace certification for X Number vendors?	⊠ Yes	□ No	□ N/A	Remarks:
14,	Do emergency service X Numbers document and justify the emergency?	⊠ Yes	□No	□ N/A	Remarks:
15.	Is the itemized invoice for each X Number service maintained in the command's files?	⊠ Yes	□No	□ N/A	Remarks:

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STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Contracts

Command: Redding - 135	Division:	Number:
Evaluated by: Dorothy Romeo		Date: 10/28/08
Assisted by:		Date:

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

TYPE C	OF INSPECTION		Lead Insp	ector's Signat	ure:			
☐ Div	rision Level	⊠ Command Level	Porthy Romeo					
☐ Executive Office Level ☐ Voluntary Self-Inspection				U				
Fo	ollow-up Required: ☐ Yes	Follow-up Inspection	Command	er's Signature	: 1 CAPT.		Date: 10/30/08	
For applicable policy, refer to: HPM 11.1, Chapter 22								
12 185 pr	 Is a CHP 78 Contract Request used to initiate all service contracts which are repetitive, regardless of the estimated dollar value? 			□ No	□ N/A	Remarks:		
2.	Is a CHP 78 Contract services exceeding \$4,	Request used for one-time 999.99?	Yes	□No	⊠ N/A		nese are requested from as Services Section.	
3.		vith the requesting command e used, followed by "CP" for	☐ Yes	Î∏ Ño	⊠ N/A	Remarks: This is handled by the CHP Business Services Section.		
4.	Is the performance of contract services monitored and documented?			□ No	□ N/A	Remarks:		
5.	5. Are all copies of correspondence with the vendor maintained?			□ No	□ N/A	Remarks:		
6.		documented and maintained ems related to substandard or vendor?	⊠ Yes	□ No	□ N/A	Remarks:		
7.		e delivered described uch detail as possible in the	⊠ Yes	□ No	□ N/A	Remarks:		
8.	including the required d for expedite and emerging	of approval/signature obtained, ocumentation and approvals ency contracts per HPM 11.1, varding the CHP 78 or CHP	⊠ Yes	□ No	□ N/A	Remarks:		

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

	Are requests for contract services less than six months from the anticipated start date of the contract pre-approved by Assistant Commissioner, Staff, for expedited processing?	⊠ Yes	□ No	□ N/A	Remarks:
,	Is all work completed and accepted by the Department before expiration of contract agreement?	⊠ Yes	□No	□ N/A	Remarks:
	 Are contract services performed according to the quality, quantity, objectives, timeframes, and in the manner specified in the contract (e.g., review progress reports and interim products)? 	⊠ Yes	□ No	□ N/A	Remarks:
1	2. Are invoices for payment reviewed and approved to substantiate expenditures for work performed and to prevent penalties being assessed?	⊠ Yes	□ No	□ N/A	Remarks:
	3. Are contract expenditures monitored to ensure there are <u>sufficient funds</u> to pay for all services rendered as required by contract?	⊠ Yes	□No	□ N/A	Remarks:
1	4. Does the requestor verify the contractor has fulfilled all requirements of the contract before approving the final invoice?	⊠ Yes	□No	□ N/A	Remarks:
1	5. Is the final invoice identified and approved, as appropriate and forwarded to Fiscal Management Section for payment?	⊠ Yes	□No	□ N/A	Remarks:
1	6. Are all applicable form sections of the CHP 78 completed?	⊠ Yes	□No	□ N/A	Remarks:
1	7. Do emergency contracts document and justify a sudden, unexpected occurrence that poses a clear and imminent danger, requiring immediate action to mitigate the loss or impairment of life, health, property, or essential public services?	⊠ Yes	□No	□ N/A	Remarks:
1	3. Are all employees associated with the management of a contract completing the CHP 78S, Conflict of Interest Statement, Employee, form?	⊠ Yes	□No	□ N/A	Remarks:
1!	Are problems concerning the contractor's performance fully documented in writing and made a part of the contract manager's contract file?	☐ Yes	□ No	⊠ N/A	Remarks: Handled at the Headquarters level, by Business Services Section.
20). Are contract amendment request dollar amounts increased more than 30%?	☐ Yes	□No	⊠ N/A	Remarks: Same as above.

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

			,		
21	. Is the length of the contract amendment request more than one year?	☐ Yes	☐ No	⊠ N/A	Remarks: Handled at the Headquarters level by Business Services Section.
22	Are amendments requested before the expiration of the original contract?	☐ Yes	□ No	⊠ N/A	Remarks: Same as above.
23	Is a service contract on a CHP 78, Contract Request initiated for any commercial meeting/conference room rental which is expected to exceed \$4,999.99 in total cost?	: Yes	□ No	⊠ N/A	Remarks: Does not apply at the Area level.
	Do conference room rental costs exceeding the \$500 per day limit have pre-approval from Assistant Commissioner, Staff?	☐ Yes	☐ No	⊠ N/A	Remarks: Same as above,
25.	Are California Department of Justice (DOJ) and Federal Bureau of Investigation (FBI) fingerprint checks and driver license checks conducted for all of the following types of agreements:	⊠ Yes	□ No	□ N/A	Remarks: Only applicable category is our Burney Resident Post janitorial services contract.
8.	(1) Avionics Maintenance and Repair (2) Helicopter Maintenance and Repair				
	(3) Instructor Services (on-site) (4) Janitorial Services (5) Consulting Services				
26.	Is a <u>driver license check</u> conducted for, but not limited to, all of the following types of agreements, if the contractor and/or specifically assigned personnel are scheduled to be on-site for more than 30 days:	☐ Yes	□No	⊠ N/A	Remarks: Redding Area has not had the need for this type of on-site agreement to date.
*	 (1) Alarm and Fire Alarm Monitoring (2) Camera Maintenance and Repair (3) Carpet Installation (4) Diesel Generator Maintenance and Repair (5) Dishwasher Maintenance and Repair (6) Elevator Maintenance and Repair (7) Fire Extinguisher Service (8) Garage Door Maintenance and Repair (9) Graphic Arts Equipment Maintenance and Repair (10) Heating, Ventilation, and Air Conditioning Service (11) Laundry/Linen Service (12) Office Machine Maintenance and Repair (13) Painting Services (interior of facility) (14) Plumbing Services (15) Scale Maintenance and Repair (16) Steam Cleaning Services (Carpet, not scales) (17) Telephone Services (cellular, satellite, and regular) (18) Television Equipment Maintenance and Repair (19) Uninterruptible Power Supply Maintenance and Repair 		, sec		
		te .			

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

27	Are all driver license and fingerprint information forwarded to Contract Services Unit (CSU), along with the contract number for retention after Commander review?	⊠ Yes	□ No	□ N/A	Remarks:
28	Is CSU advised by the command to determine if adverse information discovered is grounds for canceling the contract (i.e., adverse driver license and/or criminal history information is received regarding the contractor or the contractor's personnel)?	⊠ Yes	□No	□ N/A	Remarks:
29.	Are all invoices, records, and relevant documentation maintained for three years after the final payment of the contract?	⊠ Yes	□No	□ N/A	Remarks:
30.	Is a log sheet maintained for a diary of activities related to the contract?	☐ Yes	☐ No	⊠ N/A	Remarks:
31.	is a computer file prepared for all contracts administered?	☐ Yes	□ No	⊠ N/A	Remarks:
32.	Is a spreadsheet prepared listing all expenditures?	Yes	□ No	⊠ N/A	Remarks:
33.	Is the notification to the contractor documented for the start date for services to begin?	Yes	□No	⊠ N/A	Remarks:
34.	Is the contractor contacted to determine if all invoices have been received in order to oversee the completion of the contract?	☐ Yes	□No	⊠ N/A	Remarks:
35.	Do consultant services contracts of \$1,000 or more contain detailed performance criteria and a schedule for performance? (SCM Vol. I, Ch. 3, Section 3.02.1)	☐ Yes	□No	⊠ N/A	Remarks:
36.	Does the contract file contain the STD. 4 Contractor Evaluation form for consultant contracts? (SCM Vol. I, Ch. 3, Section 3.02.5)	☐ Yes	□No	⊠ N/A	Remarks:
37.	Does Contract work only begin after approval of the final contract? (SCM Vol. 1, Ch. 4, Section 4.09)	⊠ Yes	□No	□ N/A	Remarks:
38.	Are the requirements for Government Code Section 19130 (a) or (b) documented and justified for personal service contracts? (GC 19130 & SCM Vol. I, Ch. 7, Section 7.05)	⊠ Yes	□ No	□ N/A	Remarks:
39.	Are any contract payments made prior to the final approval and execution of the contract? (SCM Vol. I, Ch. 4, Section 4.09)	☐ Yes	⊠ No	□ N/A	Remarks:

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Cal-Card Program

Command:	Division:	Number:	
Redding - 135			
Evaluated by:		Date:	
Dorothy Romeo		10/28/08	
Assisted by:	Date:		
1/X			

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

TABE	OF INSPECTION		S HOH	ector's Signat	•	
☐ Division Level ☐ Command Level		6	loothy	Rom	eo	
☐ Ex	ecutive Office Level	☐ Voluntary Self-Inspection		0		
	ollow-up Required: ☑Yes ☒No	Follow-up Inspection	Command	lef's Signature	e: 1 CAP	Date: 10/30/08
For a	oplicable policy, refer to	HPM 11.2, Chapter 3				
15.4.	Card program completin Interest Statement, Emp		⊠ Yes	□No	□ N/A	Remarks:
2.	Are STD. 21 Drug Free maintained within the Caeach vendor utilized?		∑ Yes	☐ No	□ N/A	Remarks:
3.	Are STD. 204 Payee Da in the Cal Card comman utilized?	ta Record forms maintained d file for each vendor	⊠ Yes	□No	□ N/A	Remarks:
4.	Are California Integrated Form 74 documents main utilized?	Waste Management Board ntained for each vendor	☐ Yes	□ No	⊠ N/A	Remarks: This is handled at the Headquarters level.
5.	If the vendor is a small b is the certification letter f General Services mainta		⊠ Yes	□ No	□ N/A	Remarks:
6.	When fair and reasonabl reasonable method docu justified?	e is utilized, is the fair and mented and properly	⊠ Yes	□ No	□ N/A	Remarks;
7.	Are purchases split into r to circumvent transaction	nultiple transactions in order purchase limits?	☐ Yes	⊠ No	□ N/A	Remarks:
.8.	Does the CHP 317 Cal C purchase?	ard Log fully describe the	⊠ Yes	☐ No	□ N/A	Remarks:
9.	Are bank statements reco		⊠ Yes	□ No	□ N/A	Remarks:

COMMAND INSPECTION PROGRAM

INSPECTION CHECKLIST

Chapter 3, Command Procurements Cal-Card Program

10	. Is the CHP 317 Cal Card Log properly authorized and maintained?	⊠ Yes	□No	□ N/A	Remarks:
11.	Are credit invoices/receipts for returned items maintained with the bank statement?	⊠ Yes	□No	□ N/A	Remarks:
12.	Do non-itemized purchase receipts/invoices document the purchase by listing the commodity, quantity, and unit price of the item(s) purchased on the bank statement.	⊠ Yes	□No	□ N/A	Remarks:
13.	Are Cal Cards maintained in a secure area?	⊠ Yes	☐ No	□ N/A	Remarks:
14.	Are Cal Card purchases pre-approved by the commander?	⊠ Yes	☐ No	□ N/A	Remarks:
15.	Have all cardholders received training on the Department's procurement processes?	⊠ Yes	□No	□ N/A	Remarks:
16.	Are item(s) purchased with the Cal Card prohibited by departmental policy?	☐ Yes	⊠ No	□ N/A	Remarks:

COMMAND INSPECTION PROGRAMEXCEPTIONS DOCUMENT

Command:	Division:	Chapter:
Redding	Northern	3
Inspected by:		Date:
OSSI Dorothy Romeo		10/30/2008

INSTRUCTIONS: This document shall be typed. Check appropriate boxes as necessary, or fill in the blanks as indicated. Enter the chapter number of the inspection in the Chapter Inspection number. Under "Forward to:" enter the next level of command where the document shall be routed to and its due date. This document shall be utilized to document innovative practices, suggestions for statewide improvement, identified deficiencies, corrective action plans, and may be used to appeal findings. A CHP 51 Memorandum may be used if additional space is required.						
TYPE OF INSPECTION	ale and the second seco	Corrective Action Plan Included				
☐ Division Level ☐ Command L	_evel	Appeal Included				
☐ Executive Office Level		☐ Attachments Included				
Follow-up Required:	Forward to: Northern Division	Commander's Signature:	Date:			
☐ Tes ☑ No	Due Date:	1				
Chapter Inspection:						
Inspector's Comments Regar	ding Innovative Practice	nd by course of company the sector of Sec S:				
Area conducts a weekly audit of the petty cash. The audit is performed by an office assistant with a separation of duties from the petty cash custodian. Additionally, Area maintains a log in the petty cash box tracking the person, date, amount, purpose and vendor. The tracking log is updated when the return receipt is accepted.						
Command Suggestions for St	atewide Improvement:					
None.						
		,				
*						
Inspector's Findings:						

Area Command Procurement practices were found to be in compliance with the inspection checklist/departmental policy.

COMMAND INSPECTION PROGRAM

EXCEPTIONS DOCUMENT

Page	2
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Command: Redding	Division: Northern	Chapter:
Inspected by:		Date:
OSSI Doroth	y Romeo	10/30/2008

Commander's Response:		
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	*	
Inspector's Comments:		
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	11 N N	
Notes de la		
Required Action		PARTITION AND A
Corrective Action Plan/Time		
Corrective Action Plan/Tim	eline	

COMMAND INSPECTION PROGRAM

EXCEPTIONS DOCUMENT

Page 3

Command: Redding	Division: Northern	Chapter:
Inspected by:		Date:
OSSI Doroth	y Romeo	10/30/2008

	The state of the s
Appeal Process: (Appeals shall be filed within five (5) business days of th	e completed chapter inspection).
Commander's Basis for Appeal:	
2	
	ė.
C#	
Appeal Review/Decision: (This shall be the only level of appeal).	
Appeal Review/Decision: (This shall be the only level of appeal).	×
Appeal Review/Decision: (This shall be the only level of appeal).	
Appeal Review/Decision: (This shall be the only level of appeal).	
Appeal Review/Decision: (This shall be the only level of appeal).	
Appeal Review/Decision: (This shall be the only level of appeal).	
Appeal Review/Decision: (This shall be the only level of appeal).	
Appeal Review/Decision: (This shall be the only level of appeal).	·*
Lead Inspector's Signature:	æ ÷

1 of 3

STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Purchases

Command: Mount Shasta	Division: Northern	Number: 146
Evaluated by: Sgt. M. Mezzano		Date: 10/05/2008
Assisted by: J. Decker		Date: 10/07/2008

applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected. Lead Inspector's Signature: TYPE OF INSPECTION Command Level ☐ Division Level ☐ Voluntary Self-Inspection Executive Office Level Date: Follow-up Required: 11-10-08 ☐ Follow-up Inspection ⊠ No. Yes For applicable policy, refer to: HPM 11.2, Chapter 7 1. Are participants in the procurement process at the Rémarks: 🖾 Yes □No □ N/A command level familiar with the related policies and procedures for purchasing? 2. Have Approvers/reviewers of purchases received Remarks: procurement training? 🛛 Yes □ No □ N/A Are prohibited items procured on CHP 43, Purchases Remarks: Yes ⊠ No □ N/A Regulsitions? Supplies for personally – owned equipment Commodities for personal use Confirming order Purchases via the internet 4. Are separate CHP 43s, Purchase Requisitions, Remarks: □ N/A prepared for commodity items obtainable from 🖾 Yes □ No different suppliers or from different statewide commodity contracts? 5. Is all required information entered on the CHP 43, Remarks: □ N/A Purchase Requisition? 🛱 Yes □ No 6. Are the CHP 43, Purchase Requisitions, numbered Remarks: consecutively, starting anew at the beginning of each ⊠ Yes □ N/A fiscal year (July 1)? 7. Are expedited requests for the purchase of goods Remarks: Thru Northern Division forwarded to the Assistant Commissioner, Staff, for ⊠ Yes □ N/A □ No

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy,

approval?

1 of 2

STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

5309266935

Chapter 3, Command Procurements Cal-Card Program

Command: Mount Shasta	Division: Northern	Number: 146
Evaluated by: Sgt. M. Mezzano		Date: 10/05/2008
Assisted by: J. Decker		Date: 10/06/2008

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

TYPE OF INSPECTION		Lead Inspé	ctor's Signatu	ire:	· · · · · · · · · · · · · · · · · · ·	
☐ Division Level ☐ Comman	d Level	~ 1	171	1		
☐ Executive Office Level ☐ Voluntary	Self-Inspection	1	3/	1000	and the same	
Follow-up Required: Follow	-up Inspection	Commande	Stanature		Date:	08
For applicable policy, refer to: HPM 11.2	, Chapter 3	W			511551	
 Are all employees associated with the Card program completing the CHP 78 Interest Statement, Employee, form? 		⊠ Yes	□ No	□ N/A	Remarks:	-10%
Are STD, 21 Drug Free Workplace or maintained within the Cal Card comme each vendor utilized?		⊠ Yes	□No	□ N/A	Remarks:	
Are STD. 204 Payee Data Record for in the Cal Card command file for each utilized?	ms maintained n vendor	⊠ Yes	□No	□ N/A	Remarks:	
Are California Integrated Waste Mana Form 74 documents maintained for equitilized?	agement Board ach vendor	⊠ Yes	□No	□ N/A	Remarks:	
If the vendor is a small business or D is the certification letter from the Depa General Services maintained in the file	artment of	⊠ Yes	□ No	□ N/A	Remarks:	
When fair and reasonable is utilized, in reasonable method documented and justified?	properly	⊠ Yes	□No	□ N/A	Remarks:	
Are purchases split into multiple trans to circumvent transaction purchase lir	nits?	☐ Yes	⊠ No	□ N/A	Remarks:	
8. Does the CHP 317 Cal Card Log fully purchase?		⊠ Yes	□ No	□ N/A	Remarks:	- Pe
Are bank statements reconciled with to Cal Card Log and the receipts/invoice		∑ Yes	☐ No	□ N/A	Remarks:	

1 of 2

Page

STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements X-Number Program

Command: Mount Shasta	Division: Northern	Number: 146
Evaluated by: Sgt. M. Mezzano		Date: 10/05/2008
Assisted by: J. Decker		Date: 10/07/2008

INSTRUCTIONS: Answer individual Items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

TYPE OF INSPECTION	Lead in	spector's Signat	ture:		
☐ DIvision Level ☐ Command Level	$ \mathcal{M} $	4 11	6		
☐ Executive Office Level ☐ Voluntary Self-Ins	pection 7	4>1	1977	and	<u> </u>
Follow-up Required:	ection Comma	nder's Sanature			Date: 1/-/0-03
For applicable policy, refer to: HPM 11.1, Chapte	ег 23			10 552	
Are multiple X Numbers awarded to the same to circumvent the \$4,999 contract limit?	vendor	s 🛭 🖾 No	□ N/A	Remarks:	
Does all X Number file documentation contain STD. 204 Payee Data Record?	the 🖄 Ye	s No	□ N/A	Remarks:	
Do X Numbers requiring a contract (i.e., janitor landscaping) have prior approval from the Bus Services Section commander?	rial or liness 🛛 Ye	s □ No	□ N/A	Remarks:	
Are X Number requests made prior to the date services are performed?	the 🗵 Ye	s □ No	□ N/A	Remarks:	7
5. Are X Numbers issued for a one-time use?	⊠ Ye	s □ No	□ N/A	Remarks:	
Are prohibited services performed using an X Number?	☐ Ye	s ⊠ No	□ N/A	Remarks:	
Are X Numbers used for the procurement of a service and not the purchase of a commodity?		S □ No	□ N/A	Remarks:	
8. Are X Numbers issued for telecommunications related services pre-approved by Telecommunications Section?	⊠ Yes	s □ No	□ N/A	Remarks:	
 Do X Numbers used for facilities related service (such as roof repair, electrical) costing over \$1, have prior approval from Facilities Section? 	es ,000 🖾 Yes	B □ No	□ N/A	Remarks:	
10. Do X Numbers issued for lapsed contractual agreements have prior approval by the appropriate Assistant Commissioner?	riate 🛛 Yes	∏ No	⊠ N/A	Remarks:	

Memorandum

Date:

November 18, 2008

To:

Northern Division

From:

DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

Mount Shasta Area

File No.:

146.9603.10584

Subject:

CHAPTER 3, COMMAND PROCUREMENT AUDIT EXCEPTIONS

During the recent Chapter 3, Command Procurements Purchases audit it was discovered that area personnel were not completing a CHP 315, *Price Comparison Worksheet* in accordance with Highway Patrol Manual, 11.2, specifically Chapter 7.

All personnel involved in departmental purchases have been trained on this policy and will comply with same as required when making future purchases.

The CHP 680C Command Inspection Program Inspection Checklist has been corrected to reflect the exception identified and corrective action taken.

J. R. LEE, Lieutenant

Commander

From:

Jeff Lee

To:

Mark Mezzano

Date:

11/17/2008 1:41 PM

Subject:

Fwd: Chapter 3 Inspection

>>> Dave Hahn 11/17/2008 11:45 AM >>>

Jeff/Mark: Per HPM 11.1, Page 7-22, a CHP 315 - Price Comparison Worksheet, is required for all purchases of less than \$5000.00. I will change your answers from "N/A" to "No." Please do the same with your copies, and send me an Exceptions Document by the end of this week stating that you have implemented use of the form.

Mark: For the Purchases Inspection, please add to your Exceptions Document that you will receive procurement training no later than the end of the first quarter of 2009.

Thanks.

COMMAND INSPECTION PROGRAM EXCEPTIONS DOCUMENT

Command: Mount Shasta	Division: Northern	Chapter: 3
Inspected by:	311-3	Date:
Sgt. M. Mezzar	10	10/05/2008

number of the inspection in the Chapte shall be routed to and its due date. The	r Inspection number. Under "Fo is document shall be utilized to o	oxes as necessary, or fill in the blanks as indic trward to:" enter the next level of command who document innovative practices, suggestions for the used to appeal findings. A CHP 51 Memore	nere the document r statewide
TYPE OF INSPECTION		Corrective Action Plan Included	
☐ Division Level ☐ Command L	.evel	Appeal Included	
☐ Executive Office Level			
Follow-up Required:	Forward to:	Commander's Signature:	Date:
☐ Yes	Due Date:	got Lin	2-25-09
Chapter Inspection:			
Inspector's Comments Regar	ding Innovative Practice	es:	
NONE			
Command Suggestions for S	tatewide Improvement:		
8	tatewide Improvement:		
Command Suggestions for S	tatewide Improvement:		

Inspector's Findings:

Area personnel were not completing the CHP 315 Price Comparison Worksheet when making purchases.

COMMAND INSPECTION PROGRAM

EXCEPTIONS DOCUMENT

Page 2

Command:	Division:	Chapter:
Mount Shasta	Northern	3
Inspected by: Sgt. Mezzano	Transfer and the second	Date: 10/05/2008

:

Area policy has been changed to ensure departmental policy is adhered to.

Inspector's Comments:

Commander's actions are approprate.

Required Action

Corrective Action Plan/Timeline

Area personnel responsible for purchasing were advised of the requirement to complete a CHP 315 Price Comparison Worksheet when required.

COMMAND INSPECTION PROGRAM EXCEPTIONS DOCUMENT

Page 3

Command: Mount Shasta	Division: Northern	Chapter:
Inspected by:		Date:
Sgt. Mezzano		10/05/2008

Appeal Pirocess: (Appeals shall be filled within five (5) business day	s of the completed chapter in spection).
Commander's Basis for Appeal:	
Continuancer's basis for Appeal.	
	34
<u>H</u>	*
Appeal Review/Decision: (This shall be the only level of appeal).	
the chair at the chair at the chair at the chair at the chair	
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	±
Lead Inspector's Signature	Date:
Lead Inspector's Signature:	Date: 2-25-69

STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Contracts

Command:	Division:	Number:
Mount Shasta	Northern	146
Evaluated by:		Date:
Sgt. M. Mezzano		10/06/2008
Assisted by:		Date:
J. Decker		10/07/2008

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

TYPE OF INSP	ECTION		Lead Inspe	ctor's Signatu	re:		
Division L	evel	⊠ Command Level	1	H 1	1		
☐ Executive	Office Level	☐ Voluntary Self-Inspection	1	45/1	A927.	AND	_
Follow-	up Required:	Follow-up Inspection	Commande	er's Signature:	1		Date: 11 - (0-みと
		: HPM 11.1, Chapter 22	Ü	f			11-10-40
servi		equest used to initiate all are repetitive, regardless of ue?	☐ Yes	□No	⊠ N/A	Remarks: He	adquarters Function
	CHP 78 Contract F ces exceeding \$4,9	Request used for one-time 999.99?	☐ Yes	□ No	⊠ N/A	Remarks: He	adquarters Function
num! three	pering beginning wi	Interest (OPI) tracking ith the requesting command used, followed by "CP" for on the CHP 78?	☐ Yes	□ No	⊠ N/A	Remarks: He	eadquarters Function
	e performance of co documented?	ontract services monitored	⊠ Yes	□No	□ N/A	Remarks:	
	ill copies of corresp tained?	pondence with the vendor	⊠ Yes	□No	□ N/A	Remarks:	
which		documented and maintained ems related to substandard or vendor?	⊠ Yes	□ No	□ N/A	Remarks:	
speci CHP	fically and in as mu 78?	e delivered described uch detail as possible in the	⊠ Yes	□No	□ N/A	Remarks:	
includ for ex	ding the required do opedite and emerge ter 22, before forw	f approval/signature obtained, ocumentation and approvals ency contracts per HPM 11.1, arding the CHP 78 or CHP	☐ Yes	□ No	⊠ N/A	Remarks: He	adquarters Function

Page 2 of 4

STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

9. Are requests for contract services less than six months from the anticipated start date of the contract pre-approved by Assistant Commissioner, Staff, for expedited processing?	⊠ Yes	□ No	□ N/A	Remarks:
10. Is all work completed and accepted by the Department before expiration of contract agreement?	⊠ Yes	□ No	□ N/A	Remarks:
11. Are contract services performed according to the quality, quantity, objectives, timeframes, and in the manner specified in the contract (e.g., review progress reports and interim products)?	⊠ Yes	□No	□ N/A	Remarks:
12. Are invoices for payment reviewed and approved to substantiate expenditures for work performed and to prevent penalties being assessed?	⊠ Yes	□ No	□ N/A	Remarks:
13. Are contract expenditures monitored to ensure there are <u>sufficient funds</u> to pay for all services rendered as required by contract?	☐ Yes	□No	⊠ N/A	Remarks: Headquarters Function
14. Does the requestor verify the contractor has fulfilled all requirements of the contract before approving the final invoice?	⊠ Yes	□ No	□ N/A	Remarks:
15. Is the final invoice identified and approved, as appropriate and forwarded to Fiscal Management Section for payment?	⊠ Yes	□ No	□ N/A	Remarks:
16. Are all applicable form sections of the CHP 78 completed?	☐ Yes	□No	⊠ N/A	Remarks: Headquarters Function
17. Do emergency contracts document and justify a sudden, unexpected occurrence that poses a clear and imminent danger, requiring immediate action to mitigate the loss or impairment of life, health, property, or essential public services?	⊠ Yes	□No	□ N/A	Remarks:
18. Are all employees associated with the management of a contract completing the CHP 78S, Conflict of Interest Statement, Employee, form?	☐ Yes	□No	⊠ N/A	Remarks:
19. Are problems concerning the contractor's performance fully documented in writing and made a part of the contract manager's contract file?	⊠ Yes	□No	□ N/A	Remarks:
20. Are contract amendment request dollar amounts increased more than 30%?	☐ Yes	□No	⊠ N/A	Remarks: Headquarters Function

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

21. Is the length of the contract amendment request more than one year?	☐ Yes	□ No	⊠ N/A	Remarks: Headquarters Function
22. Are amendments requested before the expiration of the original contract?	☐ Yes	□No	⊠ N/A	Remarks: Headquarters Function
23. Is a service contract on a CHP 78, Contract Request initiated for any commercial meeting/conference room rental which is expected to exceed \$4,999.99 in total cost?	☐ Yes	□ No	⊠ N/A	Remarks: Headquarters Function
24. Do conference room rental costs exceeding the \$500 per day limit have pre-approval from Assistant Commissioner, Staff?	⊠ Yes	□ No	□ N/A	Remarks:
25. Are California Department of Justice (DOJ) and Federal Bureau of Investigation (FBI) fingerprint checks and driver license checks conducted for all of the following types of agreements: (1) Avionics Maintenance and Repair (2) Helicopter Maintenance and Repair (3) Instructor Services (on-site) (4) Janitorial Services (5) Consulting Services	☐ Yes	□No	⊠ N/A	Remarks: Headquarters Function
26. Is a driver license check conducted for, but not limited to, all of the following types of agreements, if the contractor and/or specifically assigned personnel are scheduled to be on-site for more than 30 days: (1) Alarm and Fire Alarm Monitoring (2) Camera Maintenance and Repair (3) Carpet Installation (4) Diesel Generator Maintenance and Repair (5) Dishwasher Maintenance and Repair (6) Elevator Maintenance and Repair (7) Fire Extinguisher Service (8) Garage Door Maintenance and Repair (9) Graphic Arts Equipment Maintenance and Repair (10) Heating, Ventilation, and Air Conditioning Service (11) Laundry/Linen Service (12) Office Machine Maintenance and Repair (13) Painting Services (interior of facility) (14) Plumbing Services (interior of facility) (14) Plumbing Services (Carpet, not scales) (15) Scale Maintenance and Repair (16) Steam Cleaning Services (Carpet, not scales) (17) Telephone Services (cellular, satellite, and regular) (18) Television Equipment Maintenance and Repair (19) Uninterruptible Power Supply Maintenance and Repair	☐ Yes	□ No	⊠ N/A	Remarks: Headquarters Function

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

27	Are all driver license and fingerprint information forwarded to Contract Services Unit (CSU), along with the contract number for retention after Commander review?	☐ Yes	□ No	⊠ N/A	Remarks: Headquarters Function
28	Is CSU advised by the command to determine if adverse information discovered is grounds for canceling the contract (i.e., adverse driver license and/or criminal history information is received regarding the contractor or the contractor's personnel)?	⊠ Yes	□No	□ N/A	Remarks:
	Are all invoices, records, and relevant documentation maintained for three years after the final payment of the contract?	⊠ Yes	□No	□ N/A	Remarks:
	Is a log sheet maintained for a diary of activities related to the contract?	⊠ Yes	☐ No	□ N/A	Remarks: Sign-In Sheet
31.	Is a computer file prepared for all contracts administered?	☐ Yes	□ No	⊠ N/A	Remarks: Headquarters Function
32.	Is a spreadsheet prepared listing all expenditures?	☐ Yes	☐ No	⊠ N/A	Remarks: Headquarters Function
33.	Is the notification to the contractor documented for the start date for services to begin?	☐ Yes	□No	⊠ N/A	Remarks: Headquarters Function
34.	Is the contractor contacted to determine if all invoices have been received in order to oversee the completion of the contract?	☐ Yes	□No	⊠ N/A	Remarks: Headquarters Function
35.	Do consultant services contracts of \$1,000 or more contain detailed performance criteria and a schedule for performance? (SCM Vol. I, Ch. 3, Section 3.02.1)	☐ Yes	∏ No	⊠ N/A	Remarks: Headquarters Function
36.	Does the contract file contain the STD. 4 Contractor Evaluation form for consultant contracts? (SCM Vol. I, Ch. 3, Section 3.02.5)	☐ Yes	□No	⊠ N/A	Remarks: Headquarters Function
37.	Does Contract work only begin after approval of the final contract? (SCM Vol. 1, Ch. 4, Section 4.09)	⊠ Yes	☐ No	□ N/A	Remarks:
38.	Are the requirements for Government Code Section 19130 (a) or (b) documented and justified for personal service contracts? (GC 19130 & SCM Vol. I, Ch. 7, Section 7.05)	☐ Yes	□ No	⊠ N/A	Remarks: Headquarters Function
39.	Are any contract payments made prior to the final approval and execution of the contract? (SCM Vol. I, Ch. 4, Section 4.09)	☐ Yes	⊠ No	□ N/A	Remarks:

STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Cal-Card Program

Command: Mount Shasta	Division: Northern	Number: 146
Evaluated by: Sgt. M. Mezzano		Date: 10/05/2008
Assisted by: J. Decker		Date: 10/06/2008

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

TYPE OF INSPECTION			Lead Inspe	ctor's Signatu	re:	
☐ Division Level			\sim	171	1	
☐ Executive Office Le	evel	ction	TM	31	(277 A	~~~~~~~~~~~~~~~~~~~~~~~~~~~~~~~~~~~~~~
Follow-up Requ	ıired: ☐ Follow-up Inspect] No	ion	Commande	Signature:	<u> </u>	Date: //-10-08
For applicable policy	, refer to: HPM 11.2, Chapter 3	3	Ul)			
Card program Interest Stater	ees associated with the use of the completing the CHP 78S, Conflict nent, Employee, form?		⊠ Yes	□No	□ N/A	Remarks:
	Orug Free Workplace certifications thin the Cal Card command file for tilized?		⊠ Yes	□ No	□ N/A	Remarks:
	Payee Data Record forms maintail d command file for each vendor	ned	⊠ Yes	□ No	□ N/A	Remarks:
 Are California Form 74 docu utilized? 	Integrated Waste Management Bo ments maintained for each vendor	ard	⊠ Yes	□ No	□ N/A	Remarks:
is the certificat	s a small business or DVBE is utilize ion letter from the Department of ses maintained in the file?	ed,	⊠ Yes	□ No	□ N/A	Remarks:
6. When fair and reasonable me justified?	reasonable is utilized, is the fair arethod documented and properly	nd	⊠ Yes	□ No	□ N/A	Remarks:
to circumvent	split into multiple transactions in c transaction purchase limits?		☐ Yes	⊠ No	□ N/A	Remarks:
purchase?	317 Cal Card Log fully describe th		⊠ Yes	□No	□ N/A	Remarks:
	ments reconciled with the CHP 31 and the receipts/invoices?	7	⊠ Yes	□ No	□ N/A	Remarks:

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Cal-Card Program

10. Is the CHP 317 Cal Card Log properly authorized and maintained?	⊠ Yes	□No	□ N/A	Remarks:
Are credit invoices/receipts for returned items maintained with the bank statement?	⊠ Yes	☐ No	□ N/A	Remarks:
12. Do non-itemized purchase receipts/invoices document the purchase by listing the commodity, quantity, and unit price of the item(s) purchased on the bank statement.	⊠ Yes	□ No	□ N/A	Remarks:
13. Are Cal Cards maintained in a secure area?	⊠ Yes	□No	□ N/A	Remarks:
14. Are Cal Card purchases pre-approved by the commander?	⊠ Yes	□No	□ N/A	Remarks:
15. Have all cardholders received training on the Department's procurement processes?	⊠ Yes	□No	□ N/A	Remarks:
Are item(s) purchased with the Cal Card prohibited by departmental policy?	☐ Yes	⊠ No	□ N/A	Remarks:

1 of 2

STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements X-Number Program

Command:	Division:	Number:
Mount Shasta	Northern	146
Evaluated by:		Date:
Sgt. M. Mezzano		10/05/2008
Assisted by:		Date:
J. Decker		10/07/2008

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

TYPE OF INSPECTION	Lead Inspector's Signature:
☐ Division Level ☐ Command Level	A 111
☐ Executive Office Level ☐ Voluntary Self-Inspection	Marzano
Follow-up Required:	Commander's Signature: Date: 11-10-03
For applicable policy, refer to: HPM 11.1, Chapter 23	
Are multiple X Numbers awarded to the same vendor to circumvent the \$4,999 contract limit?	☐ Yes ☐ N/A Remarks:
Does all X Number file documentation contain the STD. 204 Payee Data Record?	
3. Do X Numbers requiring a contract (i.e., janitorial or landscaping) have prior approval from the Business Services Section commander?	
Are X Number requests made prior to the date the services are performed?	
5. Are X Numbers issued for a one-time use?	☐ Yes ☐ No ☐ N/A Remarks:
6. Are prohibited services performed using an X Number?	☐ Yes No ☐ N/A Remarks:
7. Are X Numbers used for the procurement of a service and not the purchase of a commodity?	
Are X Numbers issued for telecommunications related services pre-approved by Telecommunications Section?	
9. Do X Numbers used for facilities related services (such as roof repair, electrical) costing over \$1,000 have prior approval from Facilities Section?	☐ Yes ☐ No ☐ N/A Remarks:
Do X Numbers issued for lapsed contractual agreements have prior approval by the appropriate Assistant Commissioner?	

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STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements X-Number Program

11. Do all X Numbers awarded to a non-small business vendor contain three price quotations?	⊠ Yes	□ No	□ N/A	Remarks:
12. Do all X Numbers awarded to a small business vendor contain the small business certification from the Department of General Services (DGS)?	⊠ Yes	□No	□ N/A	Remarks:
13. Does the file documentation contain the STD. 21 Drug Free workplace certification for X Number vendors?	⊠ Yes	□No	□ N/A	Remarks:
14. Do emergency service X Numbers document and justify the emergency?	⊠ Yes	□ No	□ N/A	Remarks:
15. Is the itemized invoice for each X Number service maintained in the command's files?	⊠ Yes	□ No	□ N/A	Remarks:

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STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Purchases

Command:	Division:	Number:	
Humboldt Area	Northern		
Evaluated by:	•	Date:	
Sgt. H. J. Rosendahl		10/06/08	
Assisted by:		Date:	
OSSI Kimberly I	Holland	10/06/08	

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected. TYPE OF INSPECTION Lead Inspector's Signature: Division Level □ Command Level ☐ Executive Office Level ☐ Voluntary Self-Inspection Commander's Signature: Follow-up Required: Date: Follow-up Inspection Yes No. 10-9.08 For applicable policy, refer to: HPM 11.2, Chapter 7 Are participants in the procurement process at the Remarks: command level familiar with the related policies and ⊠ Yes □ No □ N/A procedures for purchasing? Have Approvers/reviewers of purchases received Remarks: Only the OSSI. procurement training? ⊠ Yes ☐ No \square N/A Are prohibited items procured on CHP 43, Purchases Remarks: Requisitions? ☐ Yes ⊠ No \square N/A Supplies for personally – owned equipment Commodities for personal use Confirming order Purchases via the internet 4. Are separate CHP 43s, Purchase Requisitions. Remarks: prepared for commodity items obtainable from M Yes □ No □ N/A different suppliers or from different statewide commodity contracts? 5. Is all required information entered on the CHP 43, Remarks: Purchase Requisition? ☐ No ☐ N/A Are the CHP 43, Purchase Requisitions, numbered Remarks: One 43 was lisfiled on consecutively, starting anew at the beginning of each □Yes No. □ N/A each fiscal year binder. This has fiscal year (July 1)? been corrected. 7. Are expedited requests for the purchase of goods Remarks: Via Division forwarded to the Assistant Commissioner, Staff, for Yes No □ N/A approval?

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Purchases

8	Do specialized items purchased contain the appropriate Division, and/or OPI approvals?	⊠ Yes	□No	□ N/A	Remarks:
9.	competitively bid?	Yes	□No	⊠ N/A	Remarks: If applicable
	D. Does the CHP 315, Price Comparison Worksheet, document at least two price quotations?	☐ Yes	⊠ No	□ N/A	Remarks: No 43s on file which required competitive bid.
1-	 Are Limited Competitive Bidding purchase requests that limit or restrict the purchase to one specific brand or model justified and in compliance with SAM 3555? 	☐ Yes	□ No	⊠ N/A	Remarks:
12	2. Are Limited Competitive Bidding purchase requests for items that interface with existing departmental equipment in compliance with SAM 3555.3?	☐ Yes	□ No	⊠ N/A	Remarks:
	Do Non-Competitive Bid (NCB) purchase requests contain the NCB justification and NCB Corrective Action Plan documents?	☐ Yes	□ No	⊠ N/A	Remarks:
	. Are items checked immediately for content and damage when delivered?	⊠ Yes	□No	□ N/A	Remarks:
15	Is the "received copy" of the purchase order approved, dated, and forwarded to the Fiscal Management Section (FMS), Account Payable Unit, within three business days of receipt, if all items are accepted?	⊠ Yes	□No	□ N/A	Remarks: Whenever possible,
	Are freight and/or packing slips attached to the received copy of the purchase order and sent to FMS?	☐ Yes	⊠ No	□ N/A	Remarks: Clerical advised of this requirement.
17.	Is FMS provided a photocopy of the purchase order and any approved freight or packing slips as acknowledgement that a portion of the order has been received?	☐ Yes	⊠ No	□ N/A	Remarks: Clerical apprised of this requirement for future.
	Is the original "received copy" retained by the command for completion and forwarding to the FMS when the complete shipment is received?	⊠ Yes	□No	□ N/A	Remarks:
19.	Are <u>Damaged items</u> delivered by common carrier acknowledged on the freight bill by the carrier's driver before being accepted?	⊠ Yes	□No	□ N/A	Remarks:

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STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Purchases

1	O de Disselve to o O I II II (BOI)				
	O. Is Purchasing Services Unit (PSU) notified immediately by telephone, followed in writing either by a memorandum or e-mail, requesting cancellation of the requisition or deletion of an item, if it is determined that a commodity requested on a CHP 43 is no longer needed and a purchase order has not yet been prepared?	☐ Yes	□No	⊠ N/A	Remarks:
2	. Are open purchase orders periodically reviewed and investigated to ensure the orders are not opened for an unreasonable length of time. (SAM 8422.0)	⊠ Yes	□ No	□ N/A	Remarks: As needed, i.e. Office Depot.
22	Are copies of the purchase requisitions and purchase orders maintained for three years after payment? (SCM Vol. II, Ch. 11, Topic 4)	⊠ Yes	□ No	□ N/A	Remarks:
	. Are decisions documented to create a paper trail documenting the basis of the decisions made for the purchase? (SCM Vol II Ch. 2, Topic 11)	⊠ Yes	□ No	□ N/A	Remarks: e.g. Staff meeting minutes
24	Are purchase orders split to evade competitive bidding requirements or to circumvent the Department's delegated purchase authority limits? (Public Contracts Code Section 10329)	Yes	⊠ No	□ N/A	Remarks:

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements X-Number Program

Command: Humboldt	Division: Northern	Number:
Evaluated by:	Date:	
H.J. Rosendał	niin	11/03/08
Assisted by:		Date:
Kimberly Holla	11/03/08	

Page

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INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

TYPE C	OF INSPECTION	Lead Inspector's Signature:						
☐ Div	rision Level							
☐ Executive Office Level ☐ Voluntary Self-Inspection			Hylorendest S					
Fo	ollow-up Required: ☐ Follow-up Inspection ☐ Yes ☐ No		er's Signature		10	Date: 11-3-08		
For ap	oplicable policy, refer to: HPM 11.1, Chapter 23		2000					
1.	to circumvent the \$4,999 contract limit?	☐ Yes	⊠ No	□ N/A	Remarks:			
2.	Does all X Number file documentation contain the STD. 204 Payee Data Record?	⊠Yes	□No	□ N/A	Remarks:			
3.	Do X Numbers requiring a contract (i.e., janitorial or landscaping) have prior approval from the Business Services Section commander?	⊠ Yes	□ No	□ N/A	Remarks:			
4.	Are X Number requests made prior to the date the services are performed?	⊠ Yes	□No	□ N/A	Remarks:			
5.	Are X Numbers issued for a one-time use?	⊠ Yes	□No	□ N/A	Remarks:			
6.	Are prohibited services performed using an X Number?	☐ Yes	⊠ No	□ N/A	Remarks:			
7.	Are X Numbers used for the procurement of a service and not the purchase of a commodity?	⊠ Yes	□ No	□ N/A	Remarks:			
8.	Are X Numbers issued for telecommunications related services pre-approved by Telecommunications Section?	⊠ Yes	□ No	□ N/A	Remarks:			
9.	Do X Numbers used for facilities related services (such as roof repair, electrical) costing over \$1,000 have prior approval from Facilities Section?	⊠ Yes	□No	□ N/A	Remarks:			
	Do X Numbers issued for lapsed contractual agreements have prior approval by the appropriate Assistant Commissioner?	☐ Yes	□ No	⊠ N/A	Remarks:			

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STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements X-Number Program

Do all X Numbers awarded to a non-small business vendor contain three price quotations?	Yes	□No	⊠ N/A	Remarks:All small businesses
12. Do all X Numbers awarded to a small business vendor contain the small business certification from the Department of General Services (DGS)?	⊠ Yes	□No	□ N/A	Remarks:
13. Does the file documentation contain the STD. 21 Drug Free workplace certification for X Number vendors?	⊠ Yes	□ No	□ N/A	Remarks:
14. Do emergency service X Numbers document and justify the emergency?	⊠ Yes	□No	□ N/A	Remarks:
15. Is the itemized invoice for each X Number service maintained in the command's files?	⊠ Yes	□No	□ N/A	Remarks:

STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Contracts

Command:	Division: Northern	Number:
Humboldt		
Evaluated by:		Date:
H.J. Rosendahl	11/03/2008	
Assisted by:		Date:

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

TYPE C	DF INSPECTION	Land Inspector's Claneture						
	rision Level	Lead Inspe	Lead Inspector's Signature:					
L Exe	ecutive Office Level	HIN	es ender	4				
Fo	bllow-up Required:		er's Signature		/	Date:		
<u> </u>	Yes No	ITA	sendin	1 Me		11-3-08		
For ap	oplicable policy, refer to: HPM 11.1, Chapter 22							
1.	Is a CHP 78 Contract Request used to initiate all service contracts which are repetitive, regardless of the estimated dollar value?	Yes	□ No	⊠ N/A	Remarks:			
2.	Is a CHP 78 Contract Request used for one-time services exceeding \$4,999.99?	☐ Yes	□No	⊠ N/A	Remarks:			
3.	Is the Office of Primary Interest (OPI) tracking numbering beginning with the requesting command three-digit location code used, followed by "CP" for contract payable listed on the CHP 78?	☐ Yes	□ No	⊠ N/A	Remarks:			
4.	Is the performance of contract services monitored and documented?	Yes	□ No	⊠ N/A	Remarks:			
	Are all copies of correspondence with the vendor maintained?	Yes	☐ No	⊠ N/A	Remarks:			
	Are letters for contracts documented and maintained which outline any problems related to substandard or non-performance of the vendor?	☐ Yes	□No	⊠ N/A	Remarks:			
	Is the final product to be delivered described specifically and in as much detail as possible in the CHP 78?	☐ Yes	□ No	⊠ N/A	Remarks:			
8.	Are all required levels of approval/signature obtained, including the required documentation and approvals for expedite and emergency contracts per HPM 11.1, Chapter 22, before forwarding the CHP 78 or CHP 78A?	Yes	□ No	⊠ N/A	Remarks:			

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STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

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9. Are requests for contract services less than six months from the anticipated start date of the contract pre-approved by Assistant Commissioner, Staff, for expedited processing?	Yes	□No	⊠ N/A	Remarks:
10. Is all work completed and accepted by the Department before expiration of contract agreement?	Yes	□No	⊠ N/A	Remarks:
11. Are contract services performed according to the quality, quantity, objectives, timeframes, and in the manner specified in the contract (e.g., review progress reports and interim products)?	☐ Yes	□No	⊠ N/A	Remarks:
12. Are invoices for payment reviewed and approved to substantiate expenditures for work performed and to prevent penalties being assessed?	☐ Yes	□No	⊠ N/A	Remarks:
13. Are contract expenditures monitored to ensure there are <u>sufficient funds</u> to pay for all services rendered as required by contract?	☐ Yes	□ No	⊠ N/A	Remarks:
14. Does the requestor verify the contractor has fulfilled all requirements of the contract before approving the final invoice?	☐ Yes	□ No	⊠ N/A	Remarks:
15. Is the final invoice identified and approved, as appropriate and forwarded to Fiscal Management Section for payment?	☐ Yes	□No	⊠ N/A	Remarks:
16. Are all applicable form sections of the CHP 78 completed?	☐ Yes	□No	⊠ N/A	Remarks:
17. Do emergency contracts document and justify a sudden, unexpected occurrence that poses a clear and imminent danger, requiring immediate action to mitigate the loss or impairment of life, health, property, or essential public services?	☐ Yes	□No	⊠ N/A	Remarks:
18. Are all employees associated with the management of a contract completing the CHP 78S, Conflict of Interest Statement, Employee, form?	☐ Yes	□ No	⊠ N/A	Remarks:
19. Are problems concerning the contractor's performance fully documented in writing and made a part of the contract manager's contract file?	☐ Yes	□No	⊠ N/A	Remarks:
20. Are contract amendment request dollar amounts increased more than 30%?	☐ Yes	□ No	⊠ N/A	Remarks:

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STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

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	21	Is the length of the contract amendment request more than one year?	Yes	□ No	⊠ N/A	Remarks:
	22.	Are amendments requested before the expiration of the original contract?	☐ Yes	□No	⊠ N/A	Remarks:
	23.	Is a service contract on a CHP 78, Contract Request initiated for any commercial meeting/conference room rental which is expected to exceed \$4,999.99 in total cost?	☐ Yes	□ No	⊠ N/A	Remarks:
	24.	Do conference room rental costs exceeding the \$500 per day limit have pre-approval from Assistant Commissioner, Staff?	☐ Yes	□No	⊠ N/A	Remarks:
	25.	Are California Department of Justice (DOJ) and Federal Bureau of Investigation (FBI) fingerprint checks and driver license checks conducted for all of the following types of agreements:	⊠ Yes	□ No	□ N/A	Remarks: 125 only has one Janitorial service. The actual contract was set up through HQ.
raif		 (1) Avionics Maintenance and Repair (2) Helicopter Maintenance and Repair (3) Instructor Services (on-site) (4) Janitorial Services (5) Consulting Services 				
	26.	Is a <u>driver license check</u> conducted for, but not limited to, all of the following types of agreements, if the contractor and/or specifically assigned personnel are scheduled to be on-site for more than 30 days:	⊠ Yes	□ No	□ N/A	Remarks: When appropriate.
		 Alarm and Fire Alarm Monitoring Camera Maintenance and Repair Carpet Installation Diesel Generator Maintenance and Repair Dishwasher Maintenance and Repair Elevator Maintenance and Repair Fire Extinguisher Service 				
		(8) Garage Door Maintenance and Repair (9) Graphic Arts Equipment Maintenance and Repair (10) Heating, Ventilation, and Air Conditioning Service (11) Laundry/Linen Service (12) Office Machine Maintenance and Repair (13) Painting Services (interior of facility) (14) Plumbing Services (15) Scale Maintenance and Repair (16) Steam Cleaning Services (Carpet, not scales) (17) Telephone Services (cellular, satellite, and regular) (18) Television Equipment Maintenance and Repair				
		(19)Uninterruptible Power Supply Maintenance and Repair				

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STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

	. Are all driver license and fingerprint information forwarded to Contract Services Unit (CSU), along with the contract number for retention after Commander review?	⊠ Yes	□ No	□ N/A	Remarks: This would only apply to the janitorial contract.
28	Is CSU advised by the command to determine if adverse information discovered is grounds for canceling the contract (i.e., adverse driver license and/or criminal history information is received regarding the contractor or the contractor's personnel)?	⊠ Yes	□No	□ N/A	Remarks: This would be done if adverse information was discovered.
29.	Are all invoices, records, and relevant documentation maintained for three years after the final payment of the contract?	☐ Yes	☐ No	⊠ N/A	Remarks: Invoices are sent to HQ. Area does not see these.
30.	Is a log sheet maintained for a diary of activities related to the contract?	☐ Yes	☐ No	⊠ N/A	Remarks:
31.	Is a computer file prepared for all contracts administered?	☐ Yes	□ No	⊠ N/A	Remarks:
32.	Is a spreadsheet prepared listing all expenditures?	☐ Yes	☐ No	⊠ N/A	Remarks:
33.	Is the notification to the contractor documented for the start date for services to begin?	☐ Yes	□No	⊠ N/A	Remarks: Notified by HQ
34.	Is the contractor contacted to determine if all invoices have been received in order to oversee the completion of the contract?	☐ Yes	□No	⊠ N/A	Remarks:
35.	Do consultant services contracts of \$1,000 or more contain detailed performance criteria and a schedule for performance? (SCM Vol. I, Ch. 3, Section 3.02.1)	☐ Yes	□No	⊠ N/A	Remarks:
	Does the contract file contain the STD. 4 Contractor Evaluation form for consultant contracts? (SCM Vol. I, Ch. 3, Section 3.02.5)	☐ Yes	□No	⊠ N/A	Remarks:
37.	Does Contract work only begin after approval of the final contract? (SCM Vol. 1, Ch. 4, Section 4.09)	☐ Yes	☐ No	⊠ N/A	Remarks:
38.	Are the requirements for Government Code Section 19130 (a) or (b) documented and justified for personal service contracts? (GC 19130 & SCM Vol. I, Ch. 7, Section 7.05)	☐ Yes	□ No	⊠ N/A	Remarks:
39.	Are any contract payments made prior to the final approval and execution of the contract? (SCM Vol. I, Ch. 4, Section 4.09)	☐ Yes	□ No	⊠ N/A	Remarks:

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STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Cal-Card Program

Command: Humboldt	Division: Northern	Number:
Evaluated by: Kimberly Hollan	d OSSI	Date: 11/10/08
Assisted by:		Date:

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

TYPE OF INSPECTION				Lead Inspector's Signature:				
☐ Div	ision Level		1					
☐ Exe	ecutive Office Level	☐ Voluntary Self-Inspection	Kim	buly	Here	llan	ol	
Fo	ollow-up Required: Yes ⊠ No	Follow-up Inspection	Commande	er's Signatufe:	Me	lan	Date: //-/0-08	
For applicable policy, refer to: HPM 11.2, Chapter 3								
1.		sociated with the use of the Cal- ting the CHP 78S, Conflict of mployee, form?	⊠ Yes	□No	□ N/A	Remarks:		
2.	Are STD. 21 Drug Fre	e Workplace certifications Cal Card command file for	⊠ Yes	□No	□ N/A	Remarks:		
3.		Data Record forms maintained and file for each vendor	⊠ Yes	□ No	□ N/A	Remarks:		
4.		ted Waste Management Board naintained for each vendor	⊠ Yes	□No	□ N/A	Remarks:		
5.		ll business or DVBE is utilized, er from the Department of ntained in the file?	⊠ Yes	□ No	□ N/A	Remarks:		
6.		able is utilized, is the fair and ocumented and properly	⊠ Yes	□No	□ N/A	Remarks:		
7.	Are purchases split in to circumvent transac	to multiple transactions in order tion purchase limits?	☐ Yes	⊠ No	□ N/A	Remarks:		
8.	Does the CHP 317 Capurchase?	al Card Log fully describe the	⊠ Yes	□No	□ N/A	Remarks:		
9.	Are bank statements Cal Card Log and the	reconciled with the CHP 317 receipts/invoices?	⊠ Yes	□No	□ N/A	Remarks:		
					177			

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STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Cal-Card Program

10. Is the CHP 317 Cal Card Log properly authorized and maintained?	⊠ Yes	□ No	□ N/A	Remarks:
Are credit invoices/receipts for returned items maintained with the bank statement?	⊠ Yes	□ No	□ N/A	Remarks:
12. Do non-itemized purchase receipts/invoices document the purchase by listing the commodity, quantity, and unit price of the item(s) purchased on the bank statement.	⊠ Yes	□ No	□ N/A	Remarks:
13. Are Cal Cards maintained in a secure area?	⊠ Yes	☐ No	□ N/A	Remarks:
14. Are Cal Card purchases pre-approved by the commander?	⊠ Yes	□ No	□ N/A	Remarks:
15. Have all cardholders received training on the Department's procurement processes?	Yes	⊠ No	□ N/A	Remarks: ReDs & ARMS training scheduled for late 08.
16. Are item(s) purchased with the Cal Card prohibited by departmental policy?	Yes	⊠ No	□ N/A	Remarks:

COMMAND INSPECTION PROGRAM EXCEPTIONS DOCUMENT

Command: Humboldt Area	Division: Northern	Chapter: Three
Inspected by:		Date:
Sergeant Hal Rosendahl		11/03/2008

INSTRUCTIONS: This document shall be typed. Check appropriate boxes as necessary, or fill in the blanks as indicated. Enter the chapter number of the inspection in the Chapter Inspection number. Under "Forward to:" enter the next level of command where the document shall be routed to and its due date. This document shall be utilized to document innovative practices, suggestions for statewide improvement, identified deficiencies, corrective action plans, and may be used to appeal findings. A CHP 51 Memorandum may be used if additional space is required.

additional space is required.						
TYPE OF INSPECTION		Corrective Action Plan Included				
☐ Division Level ☐ Command Level		Appeal Included				
Executive Office Level		Attachments Included				
Follow-up Required:	Forward to: Northern Division	Commander's Signature:	Date:			
☐ Yes	Due Date: 2/20/2009	Ade A Cannon	2/18/09			
Chapter Inspection: Chapter T	hree - Command Procureme	nts, Contracts, X-numbers, Purchases, Cal-	Card			
Inspector's Comments Regarding Innovative Practices:						
Humboldt Area has not implemented any innovative practices warranting departmental consideration. Our supervisory staff is encouraged to evaluate methods which would improve command procurement procedures and accountability.						
Command Suggestions for Statewide Improvement:						
Humboldt Area has no sugge	estions for Statewide imp	provement.				

Inspector's Findings:

Sergeant Hal Rosendahl was the primary inspector and OSSI Kimberly Holland assisted with completion of these inspections. They both share in responsibility and oversight of command procurements and have a genuine concern for ensuring related policies and procedures are followed.

COMMAND INSPECTION PROGRAM

EXCEPTIONS DOCUMENT

Page 2

Command: Humboldt Area	Division: Northern	Chapter: Three
Inspected by:		Date:
Sergeant Hal Rosendahl		11/03/2008

Commander's Response:	
See inspector's findings.	

Inanastar's Commonts:	
Inspector's Comments:	
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See inspector's findings

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Required Action: None required	1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1	0.1.1.	-9 49	0.71	c ist stable of
		선물 가다 그		The Through H	
Corrective Action Plan/Timeline					- ,

COMMAND INSPECTION PROGRAM

EXCEPTIONS DOCUMENT

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Command: Division: Chapter: Three
Inspected by: Date:
Sergeant Hal Rosendahl 11/03/2008

Appeal Process: (Appeals shall be filed within five (5) business days of the	completed chapter inspection).
Commander's Basis for Appeal:	
N/A	
Associ Daviou/Decision (Tt.) In the the article of small	
Appeal Review/Decision: (This shall be the only level of appeal).	
1	
Tead-Inspector's Signature	Date.
Tead-Inspector's Signature	Z (18 (09
Responding Commander's Signature (for appeal):	Z (18 (09) Date:

COMMAND INSPECTION PROGRAM EXCEPTIONS DOCUMENT

Command:	Division:	Chapter:
Dunsmuir Grade I. F.	Northern	3
Inspected by:		Date:
Sgt. S. Marmont, #10738		03-26-2009

INSTRUCTIONS: This document shall be typed. Check appropriate boxes as necessary, or fill in the blanks as indicated. Enter the chapter number of the inspection in the Chapter Inspection number. Under "Forward to:" enter the next level of command where the document shall be routed to and its due date. This document shall be utilized to document innovative practices, suggestions for statewide improvement, identified deficiencies, corrective action plans, and may be used to appeal findings. A CHP 51 Memorandum may be used if additional space is required. TYPE OF INSPECTION Corrective Action Plan Included ☐ Division Level ☐ Command Level Appeal Included ☐ Executive Office Level Attachments Included Commander's Signature Forward to: Follow-up Required: Northern Due Date: 04-10-2009 ☐ Yes ⊠ No Chapter Inspection: Inspector's Comments Regarding Innovative Practices: None. Command Suggestions for Statewide Improvement: None.

Inspector's Findings:

The inspector findings indicate that the Dunsmuir Grade Inspection Facility is in compliance with Departmental policies and procedures.

COMMAND INSPECTION PROGRAM EXCEPTIONS DOCUMENT

Page 2

Command:	Division:	Chapter:
Dunsmuir Grade I. F.	Northern	3
Inspected by:	11	Date:
Sgt. S. Marmont, #10738		03-26-2009

Commander's Response:
The Dunsmuir Grade Inspection Facility is in compliance with Departmental policies and procedures.
Inspector's Comments:
None.
: Required Action

None.

Corrective Action Plan/Timeline

COMMAND INSPECTION PROGRAM EXCEPTIONS DOCUMENT

Page 3

Command: Dunsmuir Grade I. F.	Division: Northern	Chapter: 3
Inspected by:		Date:
Sgt. S. Marmont		03-26-2009

Appeal Process: (Appeals shall be filed within five (5) business days of the	e completed chapter inspection).
Commander's Basis for Appeal:	
Appeal Review/Decision: (This shall be the only level of appeal).	
11	
Lead Inspector's Signature:	Date:
Responding Commander's Signature (for appeal):	3/27/09 Date:
/	

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STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Contracts

Command: Dunsmuir Grade I. F.	Division: Northern	Number: 147
Evaluated by:		Date:
S. Marmont		03-26-2009
Assisted by:	,	Date:

TYPE OF INSPECTION	Lead Inspector's Signature:
☐ Division Level ☐ Command Level	
☐ Executive Office Level ☐ Voluntary Self-Inspection	SMARMET
Follow-up Required: ☐ Follow-up Inspection ☐ Yes ☐ No	Commander's Signature Date: 3/27/09
For applicable policy, refer to: HPM 11.1, Chapter 22	
 Is a CHP 78 Contract Request used to initiate all service contracts which are repetitive, regardless of the estimated dollar value? 	Yes No N/A Remarks: This command has not initiated any contracts. They are issued by Facilities Section.
 Is a CHP 78 Contract Request used for one-time services exceeding \$4,999.99? 	Yes No N/A Remarks: See above remark.
Is the Office of Primary Interest (OPI) tracking numbering beginning with the requesting command three-digit location code used, followed by "CP" for contract payable listed on the CHP 78?	☐ Yes ☐ No ☒ N/A Remarks: See remark under #1.
Is the performance of contract services monitored and documented?	
5. Are all copies of correspondence with the vendor maintained?	☐ Yes ☐ No ☐ N/A Remarks:
6. Are letters for contracts documented and maintained which outline any problems related to substandard or non-performance of the vendor?	⊠ Yes □ No □ N/A Remarks:
Is the final product to be delivered described specifically and in as much detail as possible in the CHP 78?	
 Are all required levels of approval/signature obtained, including the required documentation and approvals for expedite and emergency contracts per HPM 11.1, Chapter 22, before forwarding the CHP 78 or CHP 78A? 	☐ Yes ☐ No ☐ N/A Remarks:

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STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

9.	Are requests for contract services less than six months from the anticipated start date of the contract pre-approved by Assistant Commissioner, Staff, for expedited processing?	☐ Yes	□No	⊠ N/A	Remarks:
10.	Is all work completed and accepted by the Department before expiration of contract agreement?	⊠ Yes	□No	□ N/A	Remarks:
11.	Are contract services performed according to the quality, quantity, objectives, timeframes, and in the manner specified in the contract (e.g., review progress reports and interim products)?	⊠ Yes	□ No	□ N/A	Remarks:
12.	Are invoices for payment reviewed and approved to substantiate expenditures for work performed and to prevent penalties being assessed?	⊠ Yes	□No	□ N/A	Remarks:
13.	Are contract expenditures monitored to ensure there are <u>sufficient funds</u> to pay for all services rendered as required by contract?	⊠ Yes	□ No	□ N/A	Remarks:
14.	Does the requestor verify the contractor has fulfilled all requirements of the contract before approving the final invoice?	⊠Yes	□ No	□ N/A	Remarks:
15.	Is the final invoice identified and approved, as appropriate and forwarded to Fiscal Management Section for payment?	⊠ Yes	□ No	□ N/A	Remarks:
16.	Are all applicable form sections of the CHP 78 completed?	⊠ Yes	☐ No	□ N/A	Remarks:
17.	Do emergency contracts document and justify a sudden, unexpected occurrence that poses a clear and imminent danger, requiring immediate action to mitigate the loss or impairment of life, health, property, or essential public services?	⊠ Yes	□No	□ N/A	Remarks:
18.	Are all employees associated with the management of a contract completing the CHP 78S, Conflict of Interest Statement, Employee, form?	⊠ Yes	☐ No	□ N/A	Remarks:
19.	Are problems concerning the contractor's performance fully documented in writing and made a part of the contract manager's contract file?	⊠ Yes	☐ No	□ N/A	Remarks:
20.	Are contract amendment request dollar amounts increased more than 30%?	☐ Yes	☐ No	⊠ N/A	Remarks: No contract amendments requested.

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STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

21.	Is the length of the contract amendment request more than one year?	☐ Yes	□ No	⊠ N/A	Remarks: See remarks under #20.
22.	Are amendments requested before the expiration of the original contract?	☐ Yes	□No	⊠ N/A	Remarks: See remarks under #20.
23.	Is a service contract on a CHP 78, Contract Request initiated for any commercial meeting/conference room rental which is expected to exceed \$4,999.99 in total cost?	☐ Yes	□ No	⊠ N/A	Remarks:
24.	Do conference room rental costs exceeding the \$500 per day limit have pre-approval from Assistant Commissioner, Staff?	☐ Yes	□ No	⊠ N/A	Remarks:
25.	Are California Department of Justice (DOJ) and Federal Bureau of Investigation (FBI) fingerprint checks and driver license checks conducted for all of the following types of agreements:	⊠ Yes	□ No	□ N/A	Remarks:
	 (1) Avionics Maintenance and Repair (2) Helicopter Maintenance and Repair (3) Instructor Services (on-site) (4) Janitorial Services (5) Consulting Services 				
26.	Is a <u>driver license check</u> conducted for, but not limited to, all of the following types of agreements, if the contractor and/or specifically assigned personnel are scheduled to be on-site for more than 30 days:	☐ Yes	□ No	⊠ N/A	Remarks: These types of personnel are not on site for more than 30 days.
	 Alarm and Fire Alarm Monitoring Camera Maintenance and Repair Carpet Installation Diesel Generator Maintenance and Repair Dishwasher Maintenance and Repair Elevator Maintenance and Repair Fire Extinguisher Service Garage Door Maintenance and Repair Graphic Arts Equipment Maintenance and Repair Heating, Ventilation, and Air Conditioning Service Laundry/Linen Service Office Machine Maintenance and Repair Painting Services (interior of facility) Plumbing Services Scale Maintenance and Repair Steam Cleaning Services (Carpet, not scales) Telephone Services (cellular, satellite, and regular) Television Equipment Maintenance and Repair Uninterruptible Power Supply Maintenance and Repair 		*		Ď.

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STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

27. Are all driver license and fingerprint information forwarded to Contract Services Unit (CSU), along with the contract number for retention after Commander review?	⊠ Yes	□ No	□ N/A	Remarks:
28. Is CSU advised by the command to determine if adverse information discovered is grounds for canceling the contract (i.e., adverse driver license and/or criminal history information is received regarding the contractor or the contractor's personnel)?	⊠ Yes	□No	□ N/A	Remarks:
29. Are all invoices, records, and relevant documentation maintained <u>for three years</u> after the final payment of the contract?	⊠ Yes	□No	□ N/A	Remarks:
30. Is a log sheet maintained for a diary of activities related to the contract?	⊠ Yes	□ No	□ N/A	Remarks:
31. Is a computer file prepared for all contracts administered?	☐ Yes	□ No	⊠ N/A	Remarks: This command does not administer any contracts.
32. Is a spreadsheet prepared listing all expenditures?	☐ Yes	☐ No	⊠ N/A	Remarks: See remarks under #31.
33. Is the notification to the contractor documented for the start date for services to begin?	⊠ Yes	□No	□ N/A	Remarks:
34. Is the contractor contacted to determine if all invoices have been received in order to oversee the completion of the contract?	⊠ Yes	☐ No	□ N/A	Remarks:
35. Do consultant services contracts of \$1,000 or more contain detailed performance criteria and a schedule for performance? (SCM Vol. I, Ch. 3, Section 3.02.1)	☐ Yes	☐ No	⊠ N/A	Remarks:
36. Does the contract file contain the STD. 4 Contractor Evaluation form for consultant contracts? (SCM Vol. I, Ch. 3, Section 3.02.5)	☐ Yes	□ No	⊠ N/A	Remarks:
37. Does Contract work only begin after approval of the final contract? (SCM Vol. 1, Ch. 4, Section 4.09)	⊠ Yes	□No	□ N/A	Remarks:
38. Are the requirements for Government Code Section 19130 (a) or (b) documented and justified for personal service contracts? (GC 19130 & SCM Vol. I, Ch. 7, Section 7.05)	☐ Yes	□ No	⊠ N/A	Remarks:
39. Are any contract payments made prior to the final approval and execution of the contract? (SCM Vol. I, Ch. 4, Section 4.09)	☐ Yes	⊠ No	□ N/A	Remarks:

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements X-Number Program

Command: Division: Dunsmuir Grade I. F. Northern		Number: 147
Evaluated by:		Date:
S. Marmont		03-26-2009
Assisted by:		Date:

TYPE OF	INSPECTION	Lead Inspe	ctor's Signatu	ге:	
Divi:	sion Level				
☐ Exe	cutive Office Level	SI	Machine	aft	/ /
Fol	llow-up Required: ☐ Follow-up Inspection Yes ☐ No	Commande	Date: 3/27/09		
For ap	plicable policy, refer to: HPM 11.1, Chapter 23	/			
1.	Are multiple X Numbers awarded to the same vendor to circumvent the \$4,999 contract limit?	☐ Yes	⊠ No	□ N/A	Remarks:
2.	Does all X Number file documentation contain the STD. 204 Payee Data Record?	⊠ Yes	☐ No	□ N/A	Remarks:
3.	Do X Numbers requiring a contract (i.e., janitorial or landscaping) have prior approval from the Business Services Section commander?	⊠ Yes	□No	□ N/A	Remarks:
4.	Are X Number requests made prior to the date the services are performed?	⊠ Yes	□No	□ N/A	Remarks:
5.	Are X Numbers issued for a one-time use?	⊠ Yes	□No	□ N/A	Remarks:
	Are prohibited services performed using an X Number?	☐ Yes	⊠ No	□ N/A	Remarks:
7.	Are X Numbers used for the procurement of a service and not the purchase of a commodity?	⊠ Yes	☐ No	□ N/A	Remarks:
8.	Are X Numbers issued for telecommunications related services pre-approved by Telecommunications Section?	⊠ Yes	□No	□ N/A	Remarks:
9.	Do X Numbers used for facilities related services (such as roof repair, electrical) costing over \$1,000 have prior approval from Facilities Section?	⊠ Yes	□No	□ N/A	Remarks:
10.	Do X Numbers issued for lapsed contractual agreements have prior approval by the appropriate Assistant Commissioner?	☐ Yes	□No	⊠ N/A	Remarks:

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STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements X-Number Program

11. Do all X Numbers awarded to a non-small business vendor contain three price quotations?	⊠ Yes	□No	□ N/A	Remarks:
12. Do all X Numbers awarded to a small business vendor contain the small business certification from the Department of General Services (DGS)?	⊠ Yes	□No	□ N/A	Remarks:
13. Does the file documentation contain the STD. 21 Drug Free workplace certification for X Number vendors?	⊠ Yes	□No	□ N/A	Remarks:
14. Do emergency service X Numbers document and justify the emergency?	⊠ Yes	□No	□ N/A	Remarks:
15. Is the itemized invoice for each X Number service maintained in the command's files?	⊠ Yes	☐ No	□ N/A	Remarks:

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STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Cal-Card Program

Command: Dunsmuir Grade I. F.	Division: Northern	Number: 147				
Evaluated by:		Date:				
S. Marmont		03-26-2009				
Assisted by:		Date:				

TYPE OF	FINSPECTION	Lead Inspec	ctor's Signatu	ге:	
☐ Divi	sion Level Command Level		4		
☐ Exe	cutive Office Level		Ngum	git	, /
Fo	llow-up Required: ☐ Follow-up Inspection ☐ Yes ☐ No	Commande	Signature:	dm	Date: 3/27/09
For ap	pplicable policy, refer to: HPM 11.2, Chapter 3				
1.	Are all employees associated with the use of the Cal- Card program completing the CHP 78S, Conflict of Interest Statement, Employee, form?	⊠ Yes	□No	□ N/A	Remarks:
2.	Are STD. 21 Drug Free Workplace certifications maintained within the Cal Card command file for each vendor utilized?	⊠ Yes	□No	□ N/A	Remarks:
3.	Are STD. 204 Payee Data Record forms maintained in the Cal Card command file for each vendor utilized?	⊠ Yes	□No	□ N/A	Remarks:
4.	Are California Integrated Waste Management Board Form 74 documents maintained for each vendor utilized?	⊠ Yes	□No	□ N/A	Remarks:
5.	If the vendor is a small business or DVBE is utilized, is the certification letter from the Department of General Services maintained in the file?	⊠ Yes	□ No	□ N/A	Remarks:
6.	When fair and reasonable is utilized, is the fair and reasonable method documented and properly justified?	⊠ Yes	□No	□ N/A	Remarks:
7.	Are purchases split into multiple transactions in order to circumvent transaction purchase limits?	☐ Yes	⊠ No	□ N/A	Remarks:
8.	Does the CHP 317 Cal Card Log fully describe the purchase?	⊠ Yes	☐ No	□ N/A	Remarks:
9.	Are bank statements reconciled with the CHP 317 Cal Card Log and the receipts/invoices?	⊠ Yes	□No	□ N/A	Remarks:

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STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Cal-Card Program

10. Is the CHP 317 Cal Card Log properly authorized and maintained?	⊠ Yes	☐ No	□ N/A	Remarks:
11. Are credit invoices/receipts for returned items maintained with the bank statement?	⊠ Yes	□No	□ N/A	Remarks:
12. Do non-itemized purchase receipts/invoices document the purchase by listing the commodity, quantity, and unit price of the item(s) purchased on the bank statement.	⊠ Yes	□ No	□ N/A	Remarks:
13. Are Cal Cards maintained in a secure area?	⊠ Yes	☐ No	□ N/A	Remarks: Locked cash box
14. Are Cal Card purchases pre-approved by the commander?	⊠ Yes	☐ No	□ N/A	Remarks:
15. Have all cardholders received training on the Department's procurement processes?	⊠ Yes	☐ No	□ N/A	Remarks:
16. Are item(s) purchased with the Cal Card prohibited by departmental policy?	☐ Yes	⊠ No	□ N/A	Remarks:

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STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Purchases

Command: Dunsmuir Grade I. F.	Division: Northern	Number: 147
Evaluated by:	Date:	
Sgt. S. Marmor	03-26-2009	
Assisted by:		Date:

ITTE	FINSPECTION		Lead Inspe	ctor's Signatu	re:			
☐ Div	ision Level	⊠ Command Level						
	cutive Office Level	☐ Voluntary Self-Inspection	511	Mach	1			,
Fo	llow-up Required:] Yes ⊠ No	☐ Follow-up Inspection	Commander's Signature: Date: 3/27/09					9
For ap	pplicable policy, refer to	o: HPM 11.2, Chapter 7						
1.	command level familiar procedures for purchas		⊠ Yes	□No	□ N/A	Remarks:	<u>, </u>	
2.	procurement training?	ers of purchases received	⊠ Yes	□ No	□ N/A	Remarks:		
3.	Are prohibited items pro Requisitions?	ocured on CHP 43, Purchases	☐ Yes	⊠ No	□ N/A	Remarks:		
4.	Are separate CHP 43s, prepared for commodition different suppliers or from commodity contracts?	y items obtainable from om different statewide	⊠ Yes	□ No	□ N/A	Remarks:		
5.	Purchase Requisition?	on entered on the CHP 43,	⊠ Yes	□No	□ N/A	Remarks:		
	consecutively, starting fiscal year (July 1)?	ase Requisitions, numbered anew at the beginning of each	⊠ Yes	□No	□ N/A	Remarks:		
7.	Are expedited requests forwarded to the Assist approval?	for the purchase of goods ant Commissioner, Staff, for	☐ Yes	□ No	⊠ N/A	Remarks:		

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STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Purchases

8.	Do specialized items purchased contain the appropriate Division, and/or OPI approvals?	⊠ Yes	□No	□ N/A	Remarks:
9.	Are the CHP 43, Purchase Requisitions, competitively bid?	⊠ Yes	□No	□ N/A	Remarks:
10.	Does the CHP 315, Price Comparison Worksheet, document at least two price quotations?	⊠ Yes	□No	□ N/A	Remarks:
11.	Are Limited Competitive Bidding purchase requests that limit or restrict the purchase to one specific brand or model justified and in compliance with SAM 3555?	☐ Yes	□ No	⊠ N/A	Remarks:
	Are Limited Competitive Bidding purchase requests for items that interface with existing departmental equipment in compliance with SAM 3555.3?	☐ Yes	□No	⊠ N/A	Remarks:
	Do Non-Competitive Bid (NCB) purchase requests contain the NCB justification and NCB Corrective Action Plan documents?	☐ Yes	□ No	⊠ N/A	Remarks:
	Are items checked immediately for content and damage when delivered?	⊠ Yes	□No	□ N/A	Remarks:
	Is the "received copy" of the purchase order approved, dated, and forwarded to the Fiscal Management Section (FMS), Account Payable Unit, within three business days of receipt, if all items are accepted?	⊠ Yes	□No	□ N/A	Remarks:
	Are freight and/or packing slips attached to the received copy of the purchase order and sent to FMS?	⊠ Yes	□No	□ N/A	Remarks:
	Is FMS provided a photocopy of the purchase order and any approved freight or packing slips as acknowledgement that a portion of the order has been received?	⊠ Yes	□ No	□ N/A	Remarks:
	Is the original "received copy" retained by the command for completion and forwarding to the FMS when the complete shipment is received?	⊠ Yes	□No	□ N/A	Remarks:
19.	Are <u>Damaged items</u> delivered by common carrier acknowledged on the freight bill by the carrier's driver before being accepted?	⊠ Yes	□ No	□ N/A	Remarks:
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STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Purchases

20. Is Purchasing Services Unit (PSU) notified immediately by telephone, followed in writing either by a memorandum or e-mail, requesting cancellation of the requisition or deletion of an item, if it is determined that a commodity requested on a CHP 43 is no longer needed and a purchase order has not yet been prepared?	⊠ Yes	□No	□ N/A	Remarks:
 Are open purchase orders periodically reviewed and investigated to ensure the orders are not opened for an unreasonable length of time. (SAM 8422.0) 	⊠ Yes	□No	□ N/A	Remarks:
22. Are copies of the purchase requisitions and purchase orders maintained for three years after payment? (SCM Vol. II, Ch. 11, Topic 4)	⊠ Yes	□No	□ N/A	Remarks:
23. Are decisions documented to create a paper trail documenting the basis of the decisions made for the purchase? (SCM Vol II Ch. 2, Topic 11)	⊠ Yes	□No	□ N/A	Remarks:
24. Are purchase orders split to evade competitive bidding requirements or to circumvent the Department's delegated purchase authority limits? (Public Contracts Code Section 10329)	Yes	⊠ No	□ N/A	Remarks:

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements X-Number Program

D61-	+	Page	1 of 2
Command:	Division: PORTHERN	Number:	
	1 GuiEstié	Date: 9-25-	08
Assisted by:		Date:	

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

Lead Inspector's Signature: /
7 . 20 -
Juff Stelling
Commander's Signature: Date:
In 40100m 1/27/08
☐ Yes No ☐ N/A Remarks:
Yes No N/A Remarks:
Yes No N/A Remarks:
Yes No N/A Remarks:
X Yes □ No □ N/A Remarks:
Yes No N/A Remarks:
Yes No N/A Remarks:
Yes No N/A Remarks:
Yes No N/A Remarks:
Yes No N/A Remarks:

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STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements X-Number Program

11. Do all X Numbers awarded to a non-small busines vendor contain three price quotations?	SS Yes	☐ No	□ N/A	Remarks;
12. Do all X Numbers awarded to a small business vendor contain the small business certification fro the Department of General Services (DGS)?	m XYes	□ No	□ N/A	Remarks:
13. Does the file documentation contain the STD. 21 Drug Free workplace certification for X Number vendors?	Yes	□ No	□ N/A	Remarks:
14. Do emergency service X Numbers document and justify the emergency?	Yes	□ No	□ N/A	Remarks:
15. Is the itemized invoice for each X Number service maintained in the command's files?	Yes Yes	☐ No	□ N/A	Remarks:

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STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Cal-Card Program

1月子少红E 1	Division: DORTHERN	Number:	,
	ERSON	Date: 9 24	08
Assisted by:		Date:	

	YPE OF INSPECTION
Lead Inspector's Signature:	_
Command Level	Division Level Command Level
	Executive Office Level Voluntary Self-Inspection
Follow-up Inspection Commander's Signature: Date:	
- Jan Janan 9/29/08	☐ Yes 🔀 No
t .	or applicable policy, refer to: HPM 11.2, Chapter 3
CHP 78S, Conflict of Yes No No Remarks:	 Are all employees associated with the use of the Cal- Card program completing the CHP 78S, Conflict of Interest Statement, Employee, form?
d command file for Yes No NA Remarks:	Are STD. 21 Drug Free Workplace certifications maintained within the Cal Card command file for each vendor utilized?
for each vendor Yes No N/A Remarks:	in the Cal Card command file for each vendor utilized?
ed for each vendor Yes No No Remarks: RECYCLE FORM	Form 74 documents maintained for each vendor utilized?
ne Department of n the file?	is the certification letter from the Department of General Services maintained in the file?
ed and properly No No N/A Remarks:	reasonable method documented and properly justified?
nase limits?	to circumvent transaction purchase limits?
Yes No No Remarks:	purchase?
with the CHP 317 nvoices? No No N/A Remarks:	9. Are bank statements reconciled with the CHP 317 Cal Card Log and the receipts/invoices?
No N/A Remarks: Abun File	 maintained within the Cal Card command file for each vendor utilized? 3. Are STD. 204 Payee Data Record forms maintained in the Cal Card command file for each vendor utilized? 4. Are California Integrated Waste Management Board Form 74 documents maintained for each vendor utilized? 5. If the vendor is a small business or DVBE is utilized, is the certification letter from the Department of General Services maintained in the file? 6. When fair and reasonable is utilized, is the fair and reasonable method documented and properly justified? 7. Are purchases split into multiple transactions in order to circumvent transaction purchase limits? 8. Does the CHP 317 Cal Card Log fully describe the purchase? 9. Are bank statements reconciled with the CHP 317

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STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST Chapter 3, Command Procurements Purchases	Evaluated by: LARL A Assisted by:	NZESSO	erdeen un	Date:	108
INSTRUCTIONS: Answer individual items with "Yes" or "No" ar applicable legal statues, or deficiencies noted in the inspections discrepancies and/or deficiencies shall be documented on an Furthermore, the Exceptions Document shall include any follow Inspection, the "Follow-up Inspection" box shall be marked and	xceptions Docume	ent and addre	essed to the taken. If th	e next level of one is form is used	command.
The state of the s	Lead Inspe	ctor's Signatu	re:		
TYPE OF INSPECTION Division Level Executive Office Level Voluntary Self-Inspec		filled	ωQ .	alerso	
Follow-up Required: Yes No Follow-up Inspect	1 3 7	er's Signature:	m		9/29/08
For applicable policy, refer to: HPM 11.2, Chapter	7				
 Are participants in the procurement process at the command level familiar with the related policies procedures for purchasing? 	and Yes	☐ No	□ N/A	Remarks:	
Have Approvers/reviewers of purchases receive procurement training?	d Yes	□No	□ N/A	Remarks:	
Are prohibited items procured on CHP 43, Purch Requisitions?	nases Yes	⊠ No	□ N/A	Remarks:	
 Supplies for personally – owned equipm Commodities for personal use Confirming order Purchases via the internet 	nent				
4. Are separate CHP 43s, Purchase Requisitions, prepared for commodity items obtainable from different suppliers or from different statewide commodity contracts?	∑ Yes	□No	□ N/A	Remarks:	
5. Is all required information entered on the CHP 4 Purchase Requisition?	3, XYes	□ No	□ N/A	Remarks;	
Are the CHP 43, Purchase Requisitions, number consecutively, starting anew at the beginning of fiscal year (July 1)?	ered Feach Yes	□ No	□ N/A	Remarks:	
Are expedited requests for the purchase of goo forwarded to the Assistant Commissioner, Staff approval?	ds , for Yes	□ No	₩/N/A	Remarks:	

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STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

COMMAND INSPECTION PROGRAM

INSPECTION CHECKLIST

Chapter 3, Command Procurements Purchases

Do specialized items purchased contain the appropriate Division, and/or OPI approvals?	Yes	□No	□ N/A	Remarks:
Are the CHP 43, Purchase Requisitions, competitively bid?	X Yes	☐ No	□ N/A	Remarks:
Does the CHP 315, Price Comparison Worksheet, document at least two price quotations?	Yes	☐ No	□ N/A	Remarks:
Are Limited Competitive Bidding purchase requests that limit or restrict the purchase to one specific brand or model justified and in compliance with SAM 3555?	Yes	☐ No	□ N/A	Remarks:
Are Limited Competitive Bidding purchase requests for items that interface with existing departmental equipment in compliance with SAM 3555.3?	Yes	□ No	□ N/A	Remarks:
13. Do Non-Competitive Bid (NCB) purchase requests contain the NCB justification and NCB Corrective Action Plan documents?	Yes	□ No	□ N/A	Remarks:
Are items checked immediately for content and damage when delivered?	Yes	□ No	□ N/A	Remarks:
15. Is the "received copy" of the purchase order approved, dated, and forwarded to the Fiscal Management Section (FMS), Account Payable Unit, within three business days of receipt, if all items are accepted?	Yes	□ No	□ N/A	Remarks:
16. Are freight and/or packing slips attached to the received copy of the purchase order and sent to FMS?	Yes	□No	□ N/A	Remarks:
17. Is FMS provided a photocopy of the purchase order and any approved freight or packing slips as acknowledgement that a portion of the order has been received?	Yes	□No	□ N/A	Remarks:
18. Is the original "received copy" retained by the command for completion and forwarding to the FMS when the complete shipment is received?	Yes	□ No	□ N/A	Remarks:
19. Are <u>Damaged items</u> delivered by common carrier acknowledged on the freight bill by the carrier's driver before being accepted?	Y Yes	□No	□ N/A	Remarks:

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STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Purchases

20	Is Purchasing Services Unit (PSU) notified immediately by telephone, followed in writing either by a memorandum or e-mail, requesting cancellation of the requisition or deletion of an item, if it is determined that a commodity requested on a CHP 43 is no longer needed and a purchase order has not yet been prepared?	Yes	□ No	□ N/A	Remarks:
21	. Are open purchase orders periodically reviewed and investigated to ensure the orders are not opened for an unreasonable length of time. (SAM 8422.0)	12 Yes	□No	□ N/A	Remarks:
22	. Are copies of the purchase requisitions and purchase orders maintained for three years after payment? (SCM Vol. II, Ch. 11, Topic 4)	X Yes	□No	□ N/A	Remarks:
23	. Are decisions documented to create a paper trail documenting the basis of the decisions made for the purchase? (SCM Vol II Ch. 2, Topic 11)	Yes	□No	□ N/A	Remarks:
24	Are purchase orders split to evade competitive bidding requirements or to circumvent the Department's delegated purchase authority limits? (Public Contracts Code Section 10329)	☐ Yes	№ио	□ N/A	Remarks:

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Contracts

Command:	Division:	Number:
Evaluated by: SGT. JERRY	GILESHE	Date: 9-25-08
Assisted by:		Date:

TYPE OF INSPECTION	Lead Inspe	ctor's Signatur	re://,		
☐ Division Level ☐ Command Level	J X10C				
Executive Office Level Voluntary Self-Inspection	77				
Follow-up Required:	Commande	r's Signature:	In	Date: 9/29/08	
For applicable policy, refer to: HPM 11.1, Chapter 22	1			1 2	
 Is a CHP 78 Contract Request used to initiate all service contracts which are repetitive, regardless of the estimated dollar value? 	Yes	□ No	□ N/A	Remarks:	
 Is a CHP 78 Contract Request used for one-time services exceeding \$4,999.99? 	Yes	□No	MNA	Remarks:	
 Is the Office of Primary Interest (OPI) tracking numbering beginning with the requesting command three-digit location code used, followed by "<u>CP" for contract payable</u> listed on the CHP 78? 	Yes	□No	□ N/A	Remarks:	
4. Is the performance of contract services monitored and documented?	Yes	□ No	□ N/A	Remarks:	
5. Are all copies of correspondence with the vendor maintained?	Yes	□No	□ N/A	Remarks:	
6. Are letters for contracts documented and maintained which outline any problems related to substandard or non-performance of the vendor?	Y Yes	□No	□ N/A	Remarks:	
7. Is the final product to be delivered described specifically and in as much detail as possible in the CHP 78?	X Yes	□No	□ N/A	Remarks:	
 Are all required levels of approval/signature obtained, including the required documentation and approvals for expedite and emergency contracts per HPM 11.1, Chapter 22, before forwarding the CHP 78 or CHP 78A? 	Yes	□No	□ N/A	Remarks:	

COMMAND INSPECTION PROGRAM

INSPECTION CHECKLIST

9,	Are requests for contract services less than six months from the anticipated start date of the contract pre-approved by Assistant Commissioner, Staff, for expedited processing?	Yes	□ No	□ N/A	Remarks:
10.	Is all work completed and accepted by the Department before expiration of contract agreement?	Yes	□No	□ N/A	Remarks:
11.	Are contract services performed according to the quality, quantity, objectives, timeframes, and in the manner specified in the contract (e.g., review progress reports and interim products)?	Yes	□ No	□ N/A	Remarks:
12.	Are invoices for payment reviewed and approved to substantiate expenditures for work performed and to prevent penalties being assessed?	Yes	□ No	□ N/A	Remarks:
13.	Are contract expenditures monitored to ensure there are <u>sufficient funds</u> to pay for all services rendered as required by contract?	Yes	☐ No	□ N/A	Remarks:
14.	Does the requestor verify the contractor has fulfilled all requirements of the contract before approving the final invoice?	Yes	□ No	□ N/A	Remarks:
15.	Is the final invoice identified and approved, as appropriate and forwarded to Fiscal Management Section for payment?	Yes	□ No	□ N/A	Remarks:
16.	Are all applicable form sections of the CHP 78 completed?	Yes	☐ No	□ N/A	Remarks:
17.	Do emergency contracts document and justify a sudden, unexpected occurrence that poses a clear and imminent danger, requiring immediate action to mitigate the loss or impairment of life, health, property, or essential public services?	Yes	□No	□ N/A	Remarks:
18.	Are all employees associated with the management of a contract completing the CHP 78S, Conflict of Interest Statement, Employee, form?	Yes	☐ No	□ N/A	Remarks:
	. Are problems concerning the contractor's performance fully documented in writing and made a part of the contract manager's contract file?	Yes	□No	□ N/A	Remarks:
20	. Are contract amendment request dollar amounts increased more than 30%?	□Yes	₩ No	□ N/A	Remarks:

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

21	. Is the length of the contract amendment request more than one year?	Yes	XN0	□ N/A	Remarks:
22	. Are amendments requested before the expiration of the original contract?	Yes	⊡ No	□ N/A	Remarks:
23	Is a service contract on a CHP 78, Contract Request initiated for any commercial meeting/conference room rental which is expected to exceed \$4,999.99 in total cost?	☐ Yes	□ No	ĬZ N/A	Remarks:
24.	Do conference room rental costs exceeding the \$500 per day limit have pre-approval from Assistant Commissioner, Staff?	☐ Yes	□No	X/N/A	Remarks:
25.	Are California Department of Justice (DOJ) and Federal Bureau of Investigation (FBI) fingerprint checks and driver license checks conducted for all of the following types of agreements:	Yes	□No	□ N/A	Remarks:
	 (1) Avionics Maintenance and Repair (2) Helicopter Maintenance and Repair (3) instructor Services (on-site) (4) Janitorial Services (5) Consulting Services 	7 =			20 Telephone (1994)
26.	Is a <u>driver license check</u> conducted for, but not limited to, all of the following types of agreements, if the contractor and/or specifically assigned personnel are scheduled to be on-site for more than 30 days:	Yes	□No	□ N/A	Remarks:
	 (1) Alarm and Fire Alarm Monitoring (2) Camera Maintenance and Repair (3) Carpel Installation (4) Diesel Generator Maintenance and Repair (5) Dishwasher Maintenance and Repair (6) Elevator Maintenance and Repair (7) Fire Extinguisher Service 	,			=
	(8) Garage Door Maintenance and Repair (9) Graphic Arts Equipment Maintenance and Repair (10) Heating, Ventilation, and Air Conditioning Service (11) Laundry/Linen Service (12) Office Machine Maintenance and Repair (13) Painting Services (interior of facility) (14) Plumbing Services (15) Scale Maintenance and Repair (16) Steam Cleaning Services (Carpet, not scales) (17) Telephone Services (cellular, satellite, and regular) (18) Television Equipment Maintenance and Repair (19)Uninterruptible Power Supply Maintenance and Repair				12.
	(1979) Maintenuplible Power Supply Maintenance and Repair				

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

forwarded to	r license and fingerprint information o Contract Services Unit (CSU), along tract number for retention after r review?	Yes	□ No	□ N/A	Remarks:
adverse info canceling th and/or crimi	sed by the command to determine if primation discovered is grounds for e contract (i.e., adverse driver license nal history information is received e contractor or the contractor's	½ Yes γ	□ No	□ N/A	Remarks:
	ces, records, and relevant documentation for three years after the final payment of?	Yes	□ No	□ N/A	Remarks:
30. Is a log she related to th	et maintained for a diary of activities e contract?	X Yes	□No	□ N/A	Remarks:
31. Is a comput administere	er file prepared for all contracts d?	Yes	□ No	₩ N/A	Remarks:
32. Is a spreads	sheet prepared listing all expenditures?	☐ Yes	□ No	∑/N/A	Remarks:
	ation to the contractor documented for e for services to begin?	Yes	□ No	□ N/A	Remarks:
have been r	actor contacted to determine if all invoices eceived in order to oversee the of the contract?	X Yes	□ No	□ N/A	Remarks:
contain deta	int services contracts of \$1,000 or more alled performance criteria and a schedule ance? (SCM Vol. I, Ch. 3, Section 3.02.1)	☐ Yes	□ No	X N/A	Remarks:
Evaluation f	ontract file contain the STD. 4 Contractor for consultant contracts? Ch. 3, Section 3.02.5)	☐ Yes	□No	⊠ N/A	Remarks:
	act work only begin after approval of the ct? (SCM Vol. 1, Ch. 4, Section 4.09)	Yes	☐ No	□ N/A	Remarks:
19130 (a) o	uirements for Government Code Section r (b) documented and justified for rvice contracts? (GC 19130 & SCM Vol. I, ion 7.05)	☐ Yes	□ No	₩/A	Remarks:
	ntract payments made prior to the final dexecution of the contract? (SCM Vol. I, ion 4.09)	☐ Yes	12/No	□ N/A	Remarks:

COMMAND INSPECTION PROGRAMEXCEPTIONS DOCUMENT

Command: Division: Northern		Chapter: 3		
Inspected by: OSS1 Marla Al	09/29/2008			

INSTRUCTIONS: This document shall be typed. Check appropriate boxes as necessary, or fill in the blanks as indicated. Enter the chapter number of the inspection in the Chapter Inspection number. Under "Forward to:" enter the next level of command where the document shall be routed to and its due date. This document shall be utilized to document innovative practices, suggestions for statewide improvement, identified deficiencies, corrective action plans, and may be used to appeal findings. A CHP 51 Memorandum may be used if additional space is required.

additional opaco la roquiloa.						
TYPE OF INSPECTION		☐ Corrective Action Plan Included				
☐ Division Level ☐ Command Level		Appeal Included				
☐ Executive Office Level		☐ Attachments Included				
Follow-up Required:	Forward to:	Commander's Signature:	Date: 09/29/2008			
☐ Yes 🕱 No	Due Date:	Um landas				
Chapter Inspection:	建筑是"不是是是主席的政 "。					
Inspector's Comments Rega	rding Innovative Practice	es:				
None						
	201					
Command Suggestions for S	Statewide Improvement:					
None		-				

The inspector's findings indicate that the Dunsmuir Grade Inspection Facility is in compliance with departmental policies and procedures.

Inspector's Findings:

COMMAND INSPECTION PROGRAM

Command: Division: Northern		Chapter 3:
Inspected by:		Date:
OSS1 Marla	09/29/2008	

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Commander's Response:
The Dunsmuir Grade Inspection Facility is in compliance with Departmental policies and procedures.

Inspector's Comments:

None

Required Action None

Corrective Action Plan/Timeline

None

COMMAND INSPECTION PROGRAM EXCEPTIONS DOCUMENT

Page 3

Command: Division: Northern		Chapter: 3			
Inspected by:	Date:				
OSSI Marla Anderson, #A3480		09/29/2008			

Appeal Process: (Appeals shall be filed within five (5) business day	vs of the completed chapter inspection).
Commander's Basis for Appeal:	
7	
	e
	£
Appeal Review/Decision: (This shall be the only level of appeal).	
The poor Noview Booleion. (This shall be the only level of appeal).	
FI.	***
Lead Inspector's Signature:	I Date:
the sea day	Date: 9/29/08
Responding Commander's Signature (for appeal):	Date:

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STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Purchases

Command: Dunsmuir Grade I. F.	Number:				
Evaluated by:		Date:			
Sgt. S. Marmor	03-26-2009				
Assisted by:	Date:				

TYPE OF INSPECTION	Lead Inspector's Signature:					
☐ Division Level						
	Voluntary Self-Inspection	SMahr I				
Follow-up Required: ☐ Yes ☐ No	☐ Follow-up Inspection	Commande	or's Signature	n	Date: 3/27/09	
For applicable policy, refer to: 1						
Are participants in the procedures for purchasing	th the related policies and ?	⊠ Yes	□No	□ N/A	Remarks:	
Have Approvers/reviewers procurement training?	of purchases received	⊠ Yes	□No	□ N/A	Remarks:	
Are prohibited items procu Requisitions?	red on CHP 43, Purchases	☐ Yes	⊠ No	□ N/A	Remarks:	
 Commodities for p Confirming order Purchases via the 	internet					
4. Are separate CHP 43s, Pu prepared for commodity ite different suppliers or from commodity contracts?	ems obtainable from different statewide	⊠ Yes	☐ No	□ N/A	Remarks:	
Is all required information of Purchase Requisition?		⊠ Yes	□No	□ N/A	Remarks:	
fiscal year (July 1)?	ew at the beginning of each	⊠ Yes	□No	□ N/A	Remarks:	
7. Are expedited requests for forwarded to the Assistant approval?		☐ Yes	□No	⊠ N/A	Remarks:	

STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Purchases

Do specialized items purchased contain the appropriate Division, and/or OPI approvals?	⊠ Yes	□No	□ N/A	Remarks:
Are the CHP 43, Purchase Requisitions, competitively bid?	⊠ Yes	□No	□ N/A	Remarks:
Does the CHP 315, Price Comparison Worksheet, document at least two price quotations?	⊠ Yes	□No	□ N/A	Remarks:
11. Are Limited Competitive Bidding purchase requests that limit or restrict the purchase to one specific brand or model justified and in compliance with SAM 3555?	☐ Yes	☐ No	⊠ N/A	Remarks:
12. Are Limited Competitive Bidding purchase requests for items that interface with existing departmental equipment in compliance with SAM 3555.3?	_ Yes	□No	⊠ N/A	Remarks:
Do Non-Competitive Bid (NCB) purchase requests contain the NCB justification and NCB Corrective Action Plan documents?	☐ Yes	☐ No	⊠ N/A	Remarks:
Are items checked immediately for content and damage when delivered?	⊠ Yes	□No	□ N/A	Remarks:
15. Is the "received copy" of the purchase order approved, dated, and forwarded to the Fiscal Management Section (FMS), Account Payable Unit, within three business days of receipt, if all items are accepted?	⊠ Yes	□ No	□ N/A	Remarks:
Are freight and/or packing slips attached to the received copy of the purchase order and sent to FMS?	⊠ Yes	□No	□ N/A	Remarks:
17. Is FMS provided a photocopy of the purchase order and any approved freight or packing slips as acknowledgement that a portion of the order has been received?	⊠ Yes	□No	□ N/A	Remarks:
18. Is the original "received copy" retained by the command for completion and forwarding to the FMS when the complete shipment is received?	⊠ Yes	☐ No	□ N/A	Remarks:
19. Are <u>Damaged items</u> delivered by common carrier acknowledged on the freight bill by the carrier's driver before being accepted?	⊠ Yes	□ No	□ N/A	Remarks:

STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Purchases

20. Is Purchasing Services Unit (PSU) notified immediately by telephone, followed in writing either by a memorandum or e-mail, requesting cancellation of the requisition or deletion of an item, if it is determined that a commodity requested on a CHP 43 is no longer needed and a purchase order has not yet been prepared?	⊠ Yes	□ No	□ N/A	Remarks:
21. Are open purchase orders periodically reviewed and investigated to ensure the orders are not opened for an unreasonable length of time. (SAM 8422.0)	⊠ Yes	□No	□ N/A	Remarks:
22. Are copies of the purchase requisitions and purchase orders maintained for three years after payment? (SCM Vol. II, Ch. 11, Topic 4)	⊠ Yes	□ No	□ N/A	Remarks:
23. Are decisions documented to create a paper trail documenting the basis of the decisions made for the purchase? (SCM Vol II Ch. 2, Topic 11)	⊠ Yes	□ No	□ N/A	Remarks:
24. Are purchase orders split to evade competitive bidding requirements or to circumvent the Department's delegated purchase authority limits? (Public Contracts Code Section 10329)	☐ Yes	⊠ No	□ N/A	Remarks:

STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Cal-Card Program

ber:			
03-26-2009			
е			

TYPE OF INSPECTION		Lead Inspector's Signature:					
☐ Division Level ☐ Command Level							
☐ Executive Office Level ☐ Voluntary Self-Inspection			SMagingst				
Follow-up Required: ☐ Follow-up Inspect	ction	Commander's Signature: Date: 3/27/09			7		
For applicable policy, refer to: HPM 11.2, Chapter 3							
 Are all employees associated with the use of the Card program completing the CHP 78S, Conflic Interest Statement, Employee, form? 	t of	⊠ Yes	□No	□ N/A	Remarks:		
Are STD. 21 Drug Free Workplace certifications maintained within the Cal Card command file fo each vendor utilized?		⊠ Yes	□No	□ N/A	Remarks:		
Are STD. 204 Payee Data Record forms maintain the Cal Card command file for each vendor utilized?	ained	⊠ Yes	□No	□ N/A	Remarks:		
4. Are California Integrated Waste Management B Form 74 documents maintained for each vendo utilized?		⊠ Yes	□No	□ N/A	Remarks:		
5. If the vendor is a small business or DVBE is util is the certification letter from the Department of General Services maintained in the file?		⊠ Yes	□No	□ N/A	Remarks:	,	
6. When fair and reasonable is utilized, is the fair a reasonable method documented and properly justified?		⊠ Yes	□No	□ N/A	Remarks:		
7. Are purchases split into multiple transactions in to circumvent transaction purchase limits?		☐ Yes	⊠ No	□ N/A	Remarks:		
8. Does the CHP 317 Cal Card Log fully describe purchase?		⊠ Yes	□No	□ N/A	Remarks:		
9. Are bank statements reconciled with the CHP 3 Cal Card Log and the receipts/invoices?	317	⊠ Yes	□ No	□ N/A	Remarks:		

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Cal-Card Program

Is the CHP 317 Cal Card Log properly authorized and maintained?	⊠ Yes	□No	□ N/A	Remarks:
11. Are credit invoices/receipts for returned items maintained with the bank statement?	⊠ Yes	□ No	□ N/A	Remarks:
12. Do non-itemized purchase receipts/invoices document the purchase by listing the commodity, quantity, and unit price of the item(s) purchased on the bank statement.	⊠ Yes	□ No	□ N/A	Remarks:
13. Are Cal Cards maintained in a secure area?	⊠ Yes	□No	□ N/A	Remarks: Locked cash box
14. Are Cal Card purchases pre-approved by the commander?	⊠ Yes	□No	□ N/A	Remarks:
15. Have all cardholders received training on the Department's procurement processes?	⊠ Yes	□No	□ N/A	Remarks:
16. Are item(s) purchased with the Cal Card prohibited by departmental policy?	☐ Yes	⊠ No	□ N/A	Remarks;

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STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements X-Number Program

Command:	Division:	Number:
Dunsmuir Grade I. F.	Northern	147
Evaluated by:		Date:
S. Marmont		03-26-2009
Assisted by:		Date:

TYPE OF INSPECTION	Lead Inspector's Signature:				
☐ Division Level ☐ Command Level					
☐ Executive Office Level ☐ Voluntary Self-Inspection	SMalmalt				
Follow-up Required: ☐ Follow-up Inspection ☐ Yes ☐ No	Commander's Signature: Date: 3/27/09				
For applicable policy, refer to: HPM 11.1, Chapter 23					
 Are multiple X Numbers awarded to the same vendor to circumvent the \$4,999 contract limit? 	☐ Yes ☐ No ☐ N/A Remarks:				
Does all X Number file documentation contain the STD. 204 Payee Data Record?	∑ Yes ☐ No ☐ N/A Remarks:				
3. Do X Numbers requiring a contract (i.e., janitorial or landscaping) have prior approval from the Business Services Section commander?					
4. Are X Number requests made prior to the date the services are performed?	☐ Yes ☐ No ☐ N/A Remarks:				
5. Are X Numbers issued for a one-time use?					
6. Are prohibited services performed using an X Number?	☐ Yes ☐ No ☐ N/A Remarks:				
7. Are X Numbers used for the procurement of a service and not the purchase of a commodity?					
8. Are X Numbers issued for telecommunications related services pre-approved by Telecommunications Section?					
 Do X Numbers used for facilities related services (such as roof repair, electrical) costing over \$1,000 have prior approval from Facilities Section? 					
10. Do X Numbers issued for lapsed contractual agreements have prior approval by the appropriate Assistant Commissioner?	☐ Yes ☐ No ☑ N/A Remarks:				

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STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements X-Number Program

11. Do all X Numbers award vendor contain three pri		⊠ Yes	☐ No	□ N/A	Remarks:
12. Do all X Numbers award vendor contain the smal the Department of Gene	Il business certification from	⊠ Yes	□No	□ N/A	Remarks:
13. Does the file documents Drug Free workplace ce vendors?		⊠ Yes	□ No	□ N/A	Remarks:
14. Do emergency service > justify the emergency?		⊠ Yes	☐ No	□ N/A	Remarks:
15. Is the itemized invoice for maintained in the comm		⊠ Yes	☐ No	□ N/A	Remarks:

STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Contracts

Command: Dunsmuir Grade I. F.	Division: Northern	Number: 147
Evaluated by: S. Marmont		Date: 03-26-2009
Assisted by:		Date:

TYPE OF	TYPE OF INSPECTION Lead Inspector's Signature:				
☐ Division Level ☐ Command Level			- 2.3	-	
☐ Executive Office Level ☐ Voluntary Self-Inspection		811	Makin	il It	
Fo	llow-up Required: ☐ Follow-up Inspection	Commande	r's Signature	/	Date:
	Yes 🛛 No	il.	JOIDAN	2	3/27/09
For ap	plicable policy, refer to: HPM 11.1, Chapter 22				
1.	Is a CHP 78 Contract Request used to initiate all service contracts which are repetitive, regardless of the estimated dollar value?	☐ Yes	□No	⊠ N/A	Remarks: This command has not initiated any contracts. They are issued by Facilities Section.
2.	Is a CHP 78 Contract Request used for one-time services exceeding \$4,999.99?	☐ Yes	□ No	⊠ N/A	Remarks: See above remark.
3.	Is the Office of Primary Interest (OPI) tracking numbering beginning with the requesting command three-digit location code used, followed by "CP" for contract payable listed on the CHP 78?	☐ Yes	□ No	⊠ N/A	Remarks: See remark under #1.
4.	Is the performance of contract services monitored and documented?	⊠ Yes	□No	□ N/A	Remarks:
5.	Are all copies of correspondence with the vendor maintained?	⊠ Yes	☐ No	□ N/A	Remarks:
6.	Are letters for contracts documented and maintained which outline any problems related to substandard or non-performance of the vendor?	⊠ Yes	□No	□ N/A	Remarks:
7.	Is the final product to be delivered described specifically and in as much detail as possible in the CHP 78?	⊠ Yes	□No	□ N/A	Remarks:
8.	Are all required levels of approval/signature obtained, including the required documentation and approvals for expedite and emergency contracts per HPM 11.1, Chapter 22, before forwarding the CHP 78 or CHP 78A?	⊠ Yes	□ No	□ N/A	Remarks:

STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

9.	Are requests for contract services less than six months from the anticipated start date of the contract pre-approved by Assistant Commissioner, Staff, for expedited processing?	☐ Yes	□ No	⊠ N/A	Remarks:
10.	Is all work completed and accepted by the Department before expiration of contract agreement?	⊠ Yes	□No	□ N/A	Remarks:
11.	Are contract services performed according to the quality, quantity, objectives, timeframes, and in the manner specified in the contract (e.g., review progress reports and interim products)?	⊠ Yes	□ No	□ N/A	Remarks:
12.	Are invoices for payment reviewed and approved to substantiate expenditures for work performed and to prevent penalties being assessed?	⊠ Yes	□ No	□ N/A	Remarks:
13.	Are contract expenditures monitored to ensure there are <u>sufficient funds</u> to pay for all services rendered as required by contract?	⊠ Yes	□ No	□ N/A	Remarks:
14.	Does the requestor verify the contractor has fulfilled all requirements of the contract before approving the final invoice?	⊠ Yes	□ No	□ N/A	Remarks:
15.	Is the final invoice identified and approved, as appropriate and forwarded to Fiscal Management Section for payment?	⊠ Yes	□ No	□ N/A	Remarks:
16.	Are all applicable form sections of the CHP 78 completed?	⊠ Yes	□No	□ N/A	Remarks:
17.	Do emergency contracts document and justify a sudden, unexpected occurrence that poses a clear and imminent danger, requiring immediate action to mitigate the loss or impairment of life, health, property, or essential public services?	⊠ Yes	□No	□ N/A	Remarks:
	Are all employees associated with the management of a contract completing the CHP 78S, Conflict of Interest Statement, Employee, form?	⊠ Yes	□No	□ N/A	Remarks:
	Are problems concerning the contractor's performance fully documented in writing and made a part of the contract manager's contract file?	⊠ Yes	□ No	□ N/A	Remarks:
20.	Are contract amendment request dollar amounts increased more than 30%?	☐ Yes	☐ No	⊠ N/A	Remarks: No contract amendments

STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

21. Is the length of the contract amendment request more than one year?	☐ Yes	□No	⊠ N/A	Remarks: See remarks under #20.
22. Are amendments requested before the expiration of the original contract?	☐ Yes	□No	⊠ N/A	Remarks: See remarks under #20.
23. Is a service contract on a CHP 78, Contract Request initiated for any commercial meeting/conference room rental which is expected to exceed \$4,999.99 in total cost?	☐ Yes	□ No	⊠ N/A	Remarks:
24. Do conference room rental costs exceeding the \$500 per day limit have pre-approval from Assistant Commissioner, Staff?	☐ Yes	□ No	⊠ N/A	Remarks:
 25. Are California Department of Justice (DOJ) and Federal Bureau of Investigation (FBI) fingerprint checks and driver license checks conducted for all of the following types of agreements: (1) Avionics Maintenance and Repair (2) Helicopter Maintenance and Repair (3) Instructor Services (on-site) (4) Janitorial Services (5) Consulting Services 	⊠ Yes	□No	□ N/A	Remarks:
26. Is a driver license check conducted for, but not limited to, all of the following types of agreements, if the contractor and/or specifically assigned personnel are scheduled to be on-site for more than 30 days: (1) Alarm and Fire Alarm Monitoring (2) Camera Maintenance and Repair (3) Carpet Installation (4) Diesel Generator Maintenance and Repair (5) Dishwasher Maintenance and Repair (6) Elevator Maintenance and Repair (7) Fire Extinguisher Service (8) Garage Door Maintenance and Repair (9) Graphic Arts Equipment Maintenance and Repair (10) Heating, Ventilation, and Air Conditioning Service (11) Laundry/Linen Service (12) Office Machine Maintenance and Repair (13) Painting Services (interior of facility) (14) Plumbing Services (15) Scale Maintenance and Repair (16) Steam Cleaning Services (Carpet, not scales) (17) Telephone Services (cellular, satellite, and regular) (18) Television Equipment Maintenance and Repair (19)Uninterruptible Power Supply Maintenance and Repair	Yes	□ No	⊠ N/A	Remarks: These types of personnel are not on site for more than 30 days.

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

f v	Are all driver license and fingerprint information forwarded to Contract Services Unit (CSU), along with the contract number for retention after Commander review?	⊠ Yes	□ No	□ N/A	Remarks:
a 0 a r	s CSU advised by the command to determine if adverse information discovered is grounds for canceling the contract (i.e., adverse driver license and/or criminal history information is received regarding the contractor or the contractor's personnel)?	⊠ Yes	□No	□ N/A	Remarks:
r	Are all invoices, records, and relevant documentation maintained for three years after the final payment of the contract?	⊠ Yes	□No	□ N/A	Remarks:
г	s a log sheet maintained for a diary of activities related to the contract?	⊠ Yes	☐ No	□ N/A	Remarks:
	s a computer file prepared for all contracts administered?	☐ Yes	☐ No	⊠ N/A	Remarks: This command does not administer any contracts.
	s a spreadsheet prepared listing all expenditures?	☐ Yes	☐ No	⊠ N/A	Remarks: See remarks under #31.
	s the notification to the contractor documented for the start date for services to begin?	⊠ Yes	□No	□ N/A	Remarks:
h	s the contractor contacted to determine if all invoices have been received in order to oversee the completion of the contract?	⊠ Yes	□No	□ N/A	Remarks:
c	Do consultant services contracts of \$1,000 or more contain detailed performance criteria and a schedule for performance? (SCM Vol. I, Ch. 3, Section 3.02.1)	☐ Yes	□No	⊠ N/A	Remarks:
(;	Does the contract file contain the STD. 4 Contractor Evaluation form for consultant contracts? SCM Vol. I, Ch. 3, Section 3.02.5)	☐ Yes	□No	⊠ N/A	Remarks:
	Does Contract work only begin after approval of the final contract? (SCM Vol. 1, Ch. 4, Section 4.09)	⊠ Yes	☐ No	□ N/A	Remarks:
1 F	Are the requirements for Government Code Section 19130 (a) or (b) documented and justified for personal service contracts? (GC 19130 & SCM Vol. I, Ch. 7, Section 7.05)	☐ Yes	□ No	⊠ N/A	Remarks:
a	Are any contract payments made prior to the final approval and execution of the contract? (SCM Vol. I, Ch. 4, Section 4.09)	☐ Yes	⊠ No	□ N/A	Remarks:

COMMAND INSPECTION PROGRAMEXCEPTIONS DOCUMENT

Command:	Division:	Chapter:
Dunsmuir Grade I. F.	Northern	3
Inspected by:		Date:
Sgt. S. Marmor	it, #10738	03-26-2009

INSTRUCTIONS: This document shall be typed. Check appropriate boxes as necessary, or fill in the blanks as indicated. Enter the chapter number of the inspection in the Chapter Inspection number. Under "Forward to:" enter the next level of command where the document shall be routed to and its due date. This document shall be utilized to document innovative practices, suggestions for statewide improvement, identified deficiencies, corrective action plans, and may be used to appeal findings. A CHP 51 Memorandum may be used if additional space is required.

additional space is required.	orrective action plans, and may t	be used to appeal findings. A CHP 51 Memora	andum may be used if
TYPE OF INSPECTION		Corrective Action Plan Included	
☐ Division Level ☒ Command L	_evel	Appeal Included	
Executive Office Level		Attachments Inclyded	
Follow-up Required:	Forward to: Northern	Commander's Signature	Date: /
☐ Yes	Due Date:04-10-2009	Sim Fordin	3/27/09
Chapter Inspection:	The second		
Inspector's Comments Rega	rding Innovative Practice	es:	
None.			
Command Suggestions for S	tatewide Improvement:		mana and a second
None.			
		a 2	

The inspector findings indicate that the Dunsmuir Grade Inspection Facility is in compliance with Departmental policies and procedures.

Inspector's Findings:

COMMAND INSPECTION PROGRAMEXCEPTIONS DOCUMENT

Page 2

Command: Dunsmuir Grade I. F.	Division: Northern	Chapter:
Inspected by:		Date:
Sgt. S. Marmor	t, #10738	03-26-2009

Commander's Response:
The Dunsmuir Grade Inspection Facility is in compliance with Departmental policies and procedures.
Inspector's Comments:
None.
Required Action
Corrective Action Plan/Timeline

None.

COMMAND INSPECTION PROGRAM EXCEPTIONS DOCUMENT

Page 3

Command: Dunsmuir Grade I. F.	Division: Northern	Chapter:
Inspected by:	-	Date:
Sgt. S. Marmon	it	03-26-2009

Appeal Process: (Appeals shall be filed within five (5) business days of the	completed chapter inspection).
Commander's Basis for Appeal:	
×	
Appeal Review/Decision: (This shall be the only level of appeal).	
	x
11	g .
Lead Inspector's Signature:	Date:
Responding Commander's Signature (for appeal):	3/27/09 Date:

1 of 2

STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements X-Number Program

Command:	Division:	Number:
Crescent City	Northern	120
Evaluated by:		Date:
S.R. Jennings,	#15913	11-06-2008
Assisted by:		Date:
A. Orr, A12650		11-06-2008

TYPE O	INSPECTION	Lead Inspec	Hor's Signatu	re:	
☐ Divi	sion Level		\rightarrow	1	
☐ Exe	cutive Office Level	3	1	2	#591S
Fo	llow-up Required: ☐ Follow-up Inspection] Yes ☐ No	Commande	r's Signature:		Date: 1027 4004
For applicable policy, refer to: HPM 11.1, Chapter 23					
1.	Are multiple X Numbers awarded to the same vendor to circumvent the \$4,999 contract limit?	☐ Yes	⊠ No	□ N/A	Remarks:
2.	Does all X Number file documentation contain the STD. 204 Payee Data Record?	⊠ Yes	□No	□ N/A	Remarks:
3.	Do X Numbers requiring a contract (i.e., janitorial or landscaping) have prior approval from the Business Services Section commander?	☐ Yes	□No	⊠ N/A	Remarks: Done through Facilities
4.	4. Are X Number requests made prior to the date the services are performed?		□No	□ N/A	Remarks:
5.	Are X Numbers issued for a one-time use?	⊠ Yes	□No	□ N/A	Remarks:
6.	Are prohibited services performed using an X Number?	☐ Yes	⊠ No	□ N/A	Remarks:
7.	Are X Numbers used for the procurement of a service and not the purchase of a commodity?	⊠Yes	□No	□ N/A	Remarks:
8.	Are X Numbers issued for telecommunications related services pre-approved by Telecommunications Section?	☐ Yes	⊠ No	□ N/A	Remarks:
9.	Do X Numbers used for facilities related services (such as roof repair, electrical) costing over \$1,000 have prior approval from Facilities Section?	⊠ Yes	□No	□ N/A	Remarks:
10	Do X Numbers issued for lapsed contractual agreements have prior approval by the appropriate Assistant Commissioner?	⊠ Yes	□ No	□ N/A	Remarks

2 of 2

STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements X-Number Program

11. Do all X Numbers awarded to a non-small business vendor contain three price quotations?	☐ Yes	⊠ No	□ N/A	Remarks: Rural area- not always applicable
12. Do all X Numbers awarded to a small business vendor contain the small business certification from the Department of General Services (DGS)?	⊠ Yes	□No	□ N/A	Remarks:
13. Does the file documentation contain the STD. 21 Drug Free workplace certification for X Number vendors?	⊠ Yes	□No	□ N/A	Remarks:
14. Do emergency service X Numbers document and justify the emergency?	⊠ Yes	☐ No	□ N/A	Remarks:
15. Is the itemized invoice for each X Number service maintained in the command's files?	⊠ Yes	□ No	□ N/A	Remarks:

1 of 3

STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Purchases

Division: Northern	Number:	
Evaluated by:		
Sergeant William Fletcher		
Assisted by:		
Ms. Nancy Stewart, #A13022		
	n Fletcher	

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy. applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected. TYPE OF INSPECTION Lead Inspector's Signature: Division Level □ Command Level ☐ Executive Office Level □ Voluntary Self-Inspection Fletch #114, Follow-up Required: Follow-up Inspection ⊠ No Yes 10-28-08 For applicable policy, refer to: HPM 11.2, Chapter 7 1. Are participants in the procurement process at the Remarks: command level familiar with the related policies and ⊠ Yes ☐ No \square N/A procedures for purchasing? 2. Have Approvers/reviewers of purchases received Remarks: procurement training? ☐ No ☐ N/A 3. Are prohibited items procured on CHP 43, Purchases Remarks: Requisitions? Yes ⊠ No □ N/A Supplies for personally – owned equipment Commodities for personal use Confirming order Purchases via the internet Are separate CHP 43s, Purchase Requisitions, Remarks: prepared for commodity items obtainable from X Yes □ No □ N/A different suppliers or from different statewide commodity contracts? Is all required information entered on the CHP 43, Remarks: Purchase Requisition? X Yes ☐ No \square N/A 6. Are the CHP 43, Purchase Requisitions, numbered Remarks: consecutively, starting anew at the beginning of each No □ N/A fiscal year (July 1)? 7. Are expedited requests for the purchase of goods Remarks: Expedited requests are forwarded to the Assistant Commissioner, Staff, for ☐ Yes ⊠ No \square N/A sent to No. Division first for routing. approval?

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Purchases

8.	Do specialized items purchased contain the appropriate Division, and/or OPI approvals?	⊠ Yes	□No	□ N/A	Remarks:
9.	Are the CHP 43, Purchase Requisitions, competitively bid?	∑ Yes		□ N/A	Remarks:
10.	Does the CHP 315, Price Comparison Worksheet,				Remarks:
	document at least two price quotations?	⊠ Yes	□ No	□ N/A	T.O. I.O. I.O. I.O. I.O. I.O. I.O. I.O.
11.	Are Limited Competitive Bidding purchase requests that limit or restrict the purchase to one specific brand or model justified and in compliance with SAM 3555?	☐ Yes	□ No	⊠ N/A	Remarks: This is not done at Area.
	Are Limited Competitive Bidding purchase requests for items that interface with existing departmental equipment in compliance with SAM 3555.3?	☐ Yes	□ No	⊠ N/A	Remarks: This is not done at Area.
	Do Non-Competitive Bid (NCB) purchase requests contain the NCB justification and NCB Corrective Action Plan documents?	☐ Yes	□No	⊠ N/A	Remarks: This is not done at Area.
	Are items checked immediately for content and damage when delivered?	⊠ Yes	□No	□ N/A	Remarks:
15.	Is the "received copy" of the purchase order approved, dated, and forwarded to the Fiscal Management Section (FMS), Account Payable Unit, within three business days of receipt, if all items are accepted?	⊠ Yes	□No	□ N/A	Remarks:
16	Are freight and/or packing slips attached to the received copy of the purchase order and sent to FMS?	☐ Yes	⊠ No	□ N/A	Remarks: Area contacted Fiscal Management Section and they related that they do not need freight or packing slips.
17	Is FMS provided a photocopy of the purchase order and any approved freight or packing slips as acknowledgement that a portion of the order has been received?	⊠ Yes	□No	□ N/A	Remarks: We don not send the freight or packing slips unless they specify exact items received.
	. Is the original "received copy" retained by the command for completion and forwarding to the FMS when the complete shipment is received?	⊠ Yes	□No	□ N/A	Remarks:
19	. Are <u>Damaged items</u> delivered by common carrier acknowledged on the freight bill by the carrier's driver before being accepted?	⊠ Yes	□ No	□ N/A	Remarks:

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Purchases

in b o d is	s Purchasing Services Unit (PSU) notified mmediately by telephone, followed in writing either by a memorandum or e-mail, requesting cancellation of the requisition or deletion of an item, if it is letermined that a commodity requested on a CHP 43 is no longer needed and a purchase order has not let been prepared?	⊠ Yes	□No	□ N/A	Remarks: This has not occurred.
ir	Are open purchase orders periodically reviewed and investigated to ensure the orders are not opened for unreasonable length of time. (SAM 8422.0)	⊠ Yes	□No	□ N/A	Remarks:
0	Are copies of the purchase requisitions and purchase orders maintained for three years after payment? SCM Vol. II, Ch. 11, Topic 4)	⊠ Yes	□No	□ N/A	Remarks:
d	Are decisions documented to create a paper trail documenting the basis of the decisions made for the burchase? (SCM Vol II Ch. 2, Topic 11)	⊠ Yes	□No	□ N/A	Remarks: Items are documented through the Justification process only.
b	Are purchase orders split to evade competitive bidding requirements or to circumvent the Department's delegated purchase authority limits?	☐ Yes	⊠ No	□ N/A	Remarks:

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Contracts

Command:	Division: Northern	Number 120
Crescent City	Mornien	120
Evaluated by:	Date:	
S.R. Jennings, #15913		11/06/2008
Assisted by:		Date:
A. ORR, #A126	50	11/06/2008

TYPE OF INSPECTION Lead Inspector's Signature:						
☐ Division Level ☐ Command Level						
☐ Executive Office Level ☐ Voluntary Self-Inspection	¥15913					
Follow-up Required:	Commander's Signature: Date:					
For applicable policy, refer to: HPM 11.1, Chapter 22	,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,					
 Is a CHP 78 Contract Request used to initiate all service contracts which are repetitive, regardless of the estimated dollar value? 	☐ Yes ☐ No ☑ N/A Remarks:					
Is a CHP 78 Contract Request used for one-time services exceeding \$4,999.99?	☐ Yes ☐ No ☒ N/A Remarks:	Remarks:				
 Is the Office of Primary Interest (OPI) tracking numbering beginning with the requesting command three-digit location code used, followed by "<u>CP" for</u> <u>contract payable</u> listed on the CHP 78? 	☐ Yes ☐ No ☑ N/A Remarks:					
4. Is the performance of contract services monitored and documented?		Remarks: Area monitors the current contracts prepared by Headquarters.				
5. Are all copies of correspondence with the vendor maintained?						
6. Are letters for contracts documented and maintained which outline any problems related to substandard or non-performance of the vendor?	☐ Yes ☐ No ☐ N/A Remarks:					
7. Is the final product to be delivered described specifically and in as much detail as possible in the CHP 78?	☐ Yes ☐ No ☑ N/A Remarks:					
 Are all required levels of approval/signature obtained, including the required documentation and approvals for expedite and emergency contracts per HPM 11.1, Chapter 22, before forwarding the CHP 78 or CHP 78A? 	☐ Yes ☐ No ☑ N/A Remarks:					

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

9.	Are requests for contract services less than six months from the anticipated start date of the contract pre-approved by Assistant Commissioner, Staff, for expedited processing?	☐ Yes	□ No	⊠ N/A	Remarks:
10.	Is all work completed and accepted by the Department before expiration of contract agreement?	☐ Yes	□No	⊠ N/A	Remarks:
11.	Are contract services performed according to the quality, quantity, objectives, timeframes, and in the manner specified in the contract (e.g., review progress reports and interim products)?	☐ Yes	□ No	⊠ N/A	Remarks:
	Are invoices for payment reviewed and approved to substantiate expenditures for work performed and to prevent penalties being assessed?	⊠ Yes	□ No	□ N/A	Remarks:
	Are contract expenditures monitored to ensure there are <u>sufficient funds</u> to pay for all services rendered as required by contract?	☐ Yes	□ No	⊠ N/A	Remarks: This is monitored by headquarters.
	Does the requestor verify the contractor has fulfilled all requirements of the contract before approving the final invoice?	☐ Yes	□ No	⊠ N/A	Remarks:
15	Is the final invoice identified and approved, as appropriate and forwarded to Fiscal Management Section for payment?	⊠ Yes	☐ No	□ N/A	Remarks: The contracts continue each year without a lapse.
16	Are all applicable form sections of the CHP 78 completed?	☐ Yes	☐ No	⊠ N/A	Remarks:
17	Do emergency contracts document and justify a sudden, unexpected occurrence that poses a clear and imminent danger, requiring immediate action to mitigate the loss or impairment of life, health, property, or essential public services?	☐ Yes	□No	⊠ N/A	Remarks:
18	Are all employees associated with the management of a contract completing the CHP 78S, Conflict of Interest Statement, Employee, form?	Yes	□ No	⊠ N/A	Remarks:
	Are problems concerning the contractor's performance fully documented in writing and made a part of the contract manager's contract file?	⊠ Yes	□No	□ N/A	Remarks:
20	. Are contract amendment request dollar amounts increased more than 30%?	Yes	□No	⊠ N/A	Remarks:

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

21. Is the length of the contract amendment request more than one year?	☐ Yes	☐ No	⊠ N/A	Remarks:
22. Are amendments requested before the expiration of the original contract?	☐ Yes	□No	⊠ N/A	Remarks:
23. Is a service contract on a CHP 78, Contract Request initiated for any commercial meeting/conference room rental which is expected to exceed \$4,999.99 in total cost?	☐ Yes	□ No	⊠ N/A	Remarks:
24. Do conference room rental costs exceeding the \$500 per day limit have pre-approval from Assistant Commissioner, Staff?	☐ Yes	□No	⊠ N/A	Remarks:
 25. Are California Department of Justice (DOJ) and Federal Bureau of Investigation (FBI) fingerprint checks and driver license checks conducted for all of the following types of agreements: (1) Avionics Maintenance and Repair (2) Helicopter Maintenance and Repair (3) Instructor Services (on-site) (4) Janitorial Services (5) Consulting Services 	⊠ Yes	□ No	□ N/A	Remarks: Area contracts janitorial services. The janitor is in compliance with policy.
26. Is a driver license check conducted for, but not limited to, all of the following types of agreements, if the contractor and/or specifically assigned personnel are scheduled to be on-site for more than 30 days: (1) Alarm and Fire Alarm Monitoring (2) Camera Maintenance and Repair (3) Carpet Installation (4) Diesel Generator Maintenance and Repair (5) Dishwasher Maintenance and Repair (6) Elevator Maintenance and Repair (7) Fire Extinguisher Service (8) Garage Door Maintenance and Repair (9) Graphic Arts Equipment Maintenance and Repair (10) Heating, Ventilation, and Air Conditioning Service (11) Laundry/Linen Service (12) Office Machine Maintenance and Repair (13) Painting Services (interior of facility) (14) Plumbing Services (15) Scale Maintenance and Repair (16) Steam Cleaning Services (Carpet, not scales) (17) Telephone Services (cellular, satellite, and regular) (18) Television Equipment Maintenance and Repair (19) Uninterruptible Power Supply Maintenance and Repair	Yes	□ No	⊠ N/A	Remarks:

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

27	. Are all driver license and fingerprint information forwarded to Contract Services Unit (CSU), along with the contract number for retention after Commander review?	☐ Yes	□ No	⊠ N/A	Remarks:
28	Is CSU advised by the command to determine if adverse information discovered is grounds for canceling the contract (i.e., adverse driver license and/or criminal history information is received regarding the contractor or the contractor's personnel)?	☐ Yes	□ No	⊠ N/A	Remarks:
	. Are all invoices, records, and relevant documentation maintained for three years after the final payment of the contract?	⊠ Yes	□No	□ N/A	Remarks:
	. Is a log sheet maintained for a diary of activities related to the contract?	⊠ Yes	☐ No	□ N/A	Remarks:
31	. Is a computer file prepared for all contracts administered?	☐ Yes	□No	⊠ N/A	Remarks:
32	. Is a spreadsheet prepared listing all expenditures?	☐ Yes	⊠ No	□ N/A	Remarks;
	. Is the notification to the contractor documented for the start date for services to begin?	⊠ Yes	□No	□ N/A	Remarks:
	Is the contractor contacted to determine if all invoices have been received in order to oversee the completion of the contract?	☐ Yes	⊠ No	□ N/A	Remarks:
	Do consultant services contracts of \$1,000 or more contain detailed performance criteria and a schedule for performance? (SCM Vol. I, Ch. 3, Section 3.02.1)	☐ Yes	□No	⊠ N/A	Remarks:
	5. Does the contract file contain the STD. 4 Contractor Evaluation form for consultant contracts? (SCM Vol. I, Ch. 3, Section 3.02.5)	Yes	□No	⊠ N/A	Remarks:
37	. Does Contract work only begin after approval of the final contract? (SCM Vol. 1, Ch. 4, Section 4.09)	⊠ Yes	□No	□ N/A	Remarks:
	8. Are the requirements for Government Code Section 19130 (a) or (b) documented and justified for personal service contracts? (GC 19130 & SCM Vol. I, Ch. 7, Section 7.05)	☐ Yes	□ No	⊠ N/A	Remarks:
39	 Are any contract payments made prior to the final approval and execution of the contract? (SCM Vol. I, Ch. 4, Section 4.09) 	Yes	⊠ No	□ N/A	Remarks:

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STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Cal-Card Program

Command: Division:		Number:			
Crescent City Northern		120			
Evaluated by:	Date:				
S.R. Jennings,	11-06-2008				
Assisted by:	Date:				
A. Orr, #A1265	0	11-06-2008			

T) (F	TYPE OF INSPECTION Lead Inspector's Signature:						
TYPE OF	INSPECTION		Lead Inspector's Signature:				
☐ Divi	sion Level	Command Level	*09/3				
☐ Exe	cutive Office Level	Voluntary Self-Inspection	0	9 //3			
Fo	llow-up Required:	☐ Follow-up Inspection	Commande	r's Signature:			Date:
	Yes 🖄 No		11-6-08				
For applicable policy, refer to: HPM 11.2, Chapter 3							
	Are all employees associate Card program completing to Interest Statement, Employ	ne CHP 78S, Conflict of ee, form?	⊠ Yes	□ No	□ N/A	Remarks:	
2.	Are STD. 21 Drug Free Wo maintained within the Cal C each vendor utilized?		⊠ Yes	□No	□ N/A	Remarks:	
3.	Are STD. 204 Payee Data in the Cal Card command f utilized?		⊠ Yes	□ No	□ N/A	Remarks:	
4.	Are California Integrated W Form 74 documents mainta utilized?		☐ Yes	⊠ No	□ N/A	% recycled rand when a	utilized vendors provide naterial documentation. If vendor does not provide '74 will be used.
5.	If the vendor is a small bus is the certification letter from General Services maintained	n the Department of	⊠ Yes	□No	□ N/A	Remarks:	
6.	When fair and reasonable reasonable method docum justified?		⊠ Yes	□ No	□ N/A	Remarks:	
7.	Are purchases split into muto circumvent transaction p	ourchase limits?	☐ Yes	⊠ No	□ N/A	Remarks:	
8.	Does the CHP 317 Cal Ca purchase?		⊠ Yes	□ No	□ N/A	Remarks:	
9.	Are bank statements recor Cal Card Log and the rece		⊠ Yes	☐ No	□ N/A	Remarks:	

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Cal-Card Program

10. Is the CHP 317 Cal Card Log properly authorized and maintained?	⊠ Yes	□ No	□ N/A	Remarks:
11. Are credit invoices/receipts for returned items maintained with the bank statement?	⊠ Yes	□ No	□ N/A	Remarks:
12. Do non-itemized purchase receipts/invoices document the purchase by listing the commodity, quantity, and unit price of the item(s) purchased on the bank statement.	⊠ Yes	□ No	□ N/A	Remarks:
13. Are Cal Cards maintained in a secure area?	⊠ Yes	□No	□ N/A	Remarks:
14. Are Cal Card purchases pre-approved by the commander?	⊠ Yes	□ No	□ N/A	Remarks:
15. Have all cardholders received training on the Department's procurement processes?	⊠ Yes	□No	□ N/A	Remarks: Familiarized through HPM 11.2 guidelines
Are item(s) purchased with the Cal Card prohibited by departmental policy?	☐ Yes	⊠ No	□ N/A	Remarks:

COMMAND INSPECTION PROGRAM EXCEPTIONS DOCUMENT

Command: Crescent City	Division: Northern	Chapter: 3
Inspected by:		Date:
S.R. Jennings,	#15913	11/06/2008

INSTRUCTIONS: This document shall be typed. Check appropriate boxes as necessary, or fill in the blanks as indicated. Enter the chapter number of the inspection in the Chapter Inspection number. Under "Forward to:" enter the next level of command where the document shall be routed to and its due date. This document shall be utilized to document innovative practices, suggestions for statewide improvement, identified deficiencies, corrective action plans, and may be used to appeal findings. A CHP 51 Memorandum may be used if additional space is required.				
TYPE OF INSPECTION Division Level Command L Executive Office Level Follow-up Required: Yes No	evel Forward to: Northern Division Due Date: 11/01/2008	☐ Corrective Action Plan Included ☐ Appeal Included ☐ Attachments Included Commander's Signature:	Date:	
Chapter Inspection: Inspector's Comments Regarding Innovative Practices:				
None noted.				
Command Suggestions for Statewide Improvement:				
No suggestions for improvement.				
Inspector's Findings:				

The Crescent City Area was found to be within CHP policy in regard to command procurements.

COMMAND INSPECTION PROGRAM

EXCEPTIONS DOCUMENT	
Page 2	

Command: Crescent City	Division: Northern	Chapter: 3
Inspected by:		Date:
S.R. Jennings, #15913		11/06/2008

Commander's Response:
Non E
Inspector's Comments:
No discrepancies and/or deficiencies were noted during the chapter three inspection.
Required Action
Required Action
Corrective Action Plan/Timeline

COMMAND INSPECTION PROGRAM EXCEPTIONS DOCUMENT

Page 3

Command: Crescent City	Division: Northern	Chapter: 3
Inspected by:		Date:
S.R. Jennings,	#15913	11/06/2008

Appeal Process: (Appeals shall be filed within five (5) business days of the completed chapter inspection).			
Commander's Basis for Appeal:			
9			
	97		
*			
Appeal Review/Decision: (This shall be the only level of appeal).			
	*		
Lead Inspector's Signature:	Date: 11/06/2008		
Responding Commander's Signature (for appeal):	Date:		

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Purchases

Command: Cottonwood	Division: Northern	Number: 131
Evaluated by: Lieutenant Todd Morrison		Date: 10-06-2008
Assisted by: Sergeant Vince Zambrana		Date: 10-06-2008

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected. TYPE OF INSPECTION Lead Inspector's Signature: ☐ Division Level look L. monoge ☐ Executive Office Level ☐ Voluntary Self-Inspection Commander's Signature: Date: 10/06/2008 Follow-up Required: ☐ Follow-up Inspection Yes ⊠ No For applicable policy, refer to: HPM 11.2, Chapter 7 1. Are participants in the procurement process at the Remarks: command level familiar with the related policies and ⊠ Yes ☐ No □ N/A procedures for purchasing? 2. Have Approvers/reviewers of purchases received Remarks: procurement training? ⊠ Yes ☐ No □ N/A 3. Are prohibited items procured on CHP 43, Purchases Remarks: Requisitions? ☐ Yes ⊠ No □ N/A Supplies for personally – owned equipment Commodities for personal use Confirming order Purchases via the internet 4. Are separate CHP 43s, Purchase Requisitions. Remarks: prepared for commodity items obtainable from ✓ Yes □No \square N/A different suppliers or from different statewide commodity contracts? 5. Is all required information entered on the CHP 43, Remarks: Purchase Requisition? ☐ No □ N/A 6. Are the CHP 43, Purchase Requisitions, numbered Remarks: consecutively, starting anew at the beginning of each ☐ No ☐ N/A fiscal year (July 1)? 7. Are expedited requests for the purchase of goods Remarks: forwarded to the Assistant Commissioner, Staff, for ☐ No ☐ N/A

approval?

STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Purchases

8. Do specialized items purchased contain the appropriate Division, and/or OPI approvals?	⊠ Yes	□ No	□ N/A	Remarks:
Are the CHP 43, Purchase Requisitions, competitively bid?	⊠ Yes	☐ No	□ N/A	Remarks: As required.
Does the CHP 315, Price Comparison Worksheet, document at least two price quotations?	⊠ Yes	□No	□ N/A	Remarks:
11. Are Limited Competitive Bidding purchase requests that limit or restrict the purchase to one specific brand or model justified and in compliance with SAM 3555?	⊠ Yes	□No	□ N/A	Remarks:
Are Limited Competitive Bidding purchase requests for items that interface with existing departmental equipment in compliance with SAM 3555.3?	⊠ Yes	☐ No	□ N/A	Remarks: When applicable.
13. Do Non-Competitive Bid (NCB) purchase requests contain the NCB justification and NCB Corrective Action Plan documents?	⊠ Yes	☐ No	□ N/A	Remarks: When applicable.
14. Are items checked immediately for content and damage when delivered?	⊠ Yes	□No	□ N/A	Remarks:
15. Is the "received copy" of the purchase order approved, dated, and forwarded to the Fiscal Management Section (FMS), Account Payable Unit, within three business days of receipt, if all items are accepted?	⊠ Yes	□No	□ N/A	Remarks:
Are freight and/or packing slips attached to the received copy of the purchase order and sent to FMS?	⊠ Yes	□No	□ N/A	Remarks:
17. Is FMS provided a photocopy of the purchase order and any approved freight or packing slips as acknowledgement that a portion of the order has been received?	⊠ Yes	□No	□ N/A	Remarks:
Is the original "received copy" retained by the command for completion and forwarding to the FMS when the complete shipment is received?	⊠ Yes	□No	□ N/A	Remarks:
Are <u>Damaged items</u> delivered by common carrier acknowledged on the freight bill by the carrier's driver before being accepted?	⊠ Yes	□No	□ N/A	Remarks:

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STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Purchases

20. Is Purchasing Services Unit (PSU) notified immediately by telephone, followed in writing either by a memorandum or e-mail, requesting cancellation of the requisition or deletion of an item, if it is determined that a commodity requested on a CHP 43 is no longer needed and a purchase order has not yet been prepared?	⊠ Yes	□No	□ N/A	Remarks:
Are open purchase orders periodically reviewed and investigated to ensure the orders are not opened for an unreasonable length of time. (SAM 8422.0)	⊠ Yes	□ No	□ N/A	Remarks:
Are copies of the purchase requisitions and purchase orders maintained for three years after payment? (SCM Vol. II, Ch. 11, Topic 4)	⊠ Yes	□ No	□ N/A	Remarks:
23. Are decisions documented to create a paper trail documenting the basis of the decisions made for the purchase? (SCM Vol II Ch. 2, Topic 11)	⊠ Yes	□ No	□ N/A	Remarks:
24. Are purchase orders split to evade competitive bidding requirements or to circumvent the Department's delegated purchase authority limits? (Public Contracts Code Section 10339)	☐ Yes	⊠ No	□ N/A	Remarks:

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Cal-Card Program

Command:	Division: Northern	Number: 131
Cottonwood IF		. •
Evaluated by:		Date:
Lieutenant Todd	Morrison	11/17/2008
Assisted by:		Date:
Sergeant Vince Zambrana		11/17/2008

TYPE	OF INSPECTION		Lead Inspector's Signature:				
	vivision Level	⊠ Command Level) (, <	$\overline{}$		
☐ E.	xecutive Office Level	☐ Voluntary Self-Inspection		- 0	. –	rus	
F [Follow-up Required: ☐ Yes	Follow-up Inspection	Command	der's Signat ur	a Inor	un	Date: 11 - 17 - 08
For a	applicable policy, refer to	o: HPM 11.2, Chapter 3			×		
	Card program completi Interest Statement, Em		⊠ Yes	□No	□ N/A	Remarks:	
2	Are STD. 21 Drug Free maintained within the C each vendor utilized?	Workplace certifications all Card command file for	⊠ Yes	☐ No	□ N/A	Remarks:	
3.	Are STD. 204 Payee Da in the Cal Card commar utilized?	ata Record forms maintained nd file for each vendor	⊠ Yes	□No	□ N/A	Remarks:	
4.	Are California Integrated Form 74 documents ma utilized?	d Waste Management Board intained for each vendor	⊠ Yes	□ No	□ N/A	Remarks:	
5.	If the vendor is a small be is the certification letter to General Services mainta		⊠ Yes	□ No	□ N/A	Remarks:	
6.	When fair and reasonab reasonable method docu justified?	le is utilized, is the fair and umented and properly	☐ Yes	□ No	⊠ N/A	Remarks:	
7.	to circumvent transaction	•	☐ Yes	⊠ No	□ N/A	Remarks:	
8.	Does the CHP 317 Cal C purchase?	ard Log fully describe the	⊠ Yes	☐ No	□ N/A	Remarks:	
9.	Are bank statements reco Cal Card Log and the rec		⊠ Yes	□ No	□ N/A	Remarks:	

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STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Cal-Card Program

10. Is the CHP 317 Cal Card Log properly authorized and maintained?	⊠ Yes	□No	□ N/A	Remarks:
Are credit invoices/receipts for returned items maintained with the bank statement?	⊠ Yes	☐ No	□ N/A	Remarks:
12. Do non-itemized purchase receipts/invoices document the purchase by listing the commodity, quantity, and unit price of the item(s) purchased on the bank statement.	⊠ Yes	□ No	□ N/A	Remarks:
13. Are Cal Cards maintained in a secure area?	⊠ Yes	□No	□ N/A	Remarks:
14. Are Cal Card purchases pre-approved by the commander?	⊠ Yes	□No	□ N/A	Remarks:
15. Have all cardholders received training on the Department's procurement processes?	⊠ Yes	□No	□ N/A	Remarks:
Are item(s) purchased with the Cal Card prohibited by departmental policy?	☐ Yes	⊠ No	□ N/A	Remarks:

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements X-Number Program

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PATROL N PROGRAM	Command: Cottonwood IF	Division: Northern	Number: 131
ents	Evaluated by: Lieutenant Todo	Date: 11/13/2008	
	Assisted by: Sergeant Vince	Zambrana	Date: 11/13/2008

TYPE OF INSPECTION L l cad Inspectoria Signature.							
		Lead Ins	Lead Inspector's Signature:				
Division Level	○ Command Level) -				
☐ Executive Office Level	☐ Voluntary Self-Inspection	- 1	licel	hyce	rust		
Follow-up Required:	☐ Follow-up Inspection	Comman	der's Signatu	re:	vn_	Date:	13-08
For applicable policy, refer to							
to circumvent the \$4,99		☐ Yes	⊠ No	□ N/A	Remarks:		
STD. 204 Payee Data F		⊠ Yes	□No	□ N/A	Remarks:		
Do X Numbers requiring landscaping) have prior Services Section comm	g a contract (i.e., janitorial or approval from the Business ander?	⊠ Yes	□ No	□ N/A	Remarks:		
 Are X Number requests services are performed? 		⊠ Yes	□No	□ N/A	Remarks:		
5. Are X Numbers issued for	or a one-time use?	⊠ Yes	□ No	□ N/A	Remarks:		
Are prohibited services p Number?		☐ Yes	⊠ No	□ N/A	Remarks;		
Are X Numbers used for service and not the purch	nase of a commodity?	⊠ Yes	□ No	□ N/A	Remarks:		
Are X Numbers issued for related services pre-approximates Telecommunications Section	oved by 'tion?	☐ Yes	⊠ No	□ N/A	Remarks:		
have prior approval from	rical) costing over \$1,000 Facilities Section?	⊠ Yes	□No	□ N/A	Remarks:		
10. Do X Numbers issued for agreements have prior ap Assistant Commissioner?	lapsed contractual proval by the appropriate	⊠ Yes	□ No	□ N/A	Remarks:		

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STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements X-Number Program

	 Do all X Numbers awarded to a non-small business vendor contain three price quotations? 	⊠ Yes	□ No	□ N/A	Remarks:
12	2. Do all X Numbers awarded to a small business vendor contain the small business certification from the Department of General Services (DGS)?	⊠ Yes	□No	□ N/A	Remarks:
13	Does the file documentation contain the STD. 21 Drug Free workplace certification for X Number vendors?	⊠ Yes	□ No	□ N/A	Remarks:
	Do emergency service X Numbers document and justify the emergency?	⊠ Yes	□No	□ N/A	Remarks:
15.	Is the itemized invoice for each X Number service maintained in the command's files?	⊠ Yes	□No	□ N/A	Remarks:

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FILE

STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Contracts

Command:	Division: Northern	Number: 131	_
Cottonwood IF			
Evaluated by:		Date:	
Lieutenant Todd	Morrison	11/01/2008	
Assisted by:		Date:	Т
Sergeant Vince	Zambrana	11/01/2008	

TYPE	OF INSPECTION		Lead Inspector's Signature:				
	ivision Level	☑ Command Level),(()	7	
☐ E:	xecutive Office Level	☐ Voluntary Self-Inspection		lood monger			
F [Follow-up Required: ☐ Yes	Follow-up Inspection	Command	der's Signatur	e: you	Date: 11-1-08	
For a	applicable policy, refer to	o: HPM 11.1, Chapter 22					
1.		Request used to initiate all n are repetitive, regardless of lue?	⊠ Yes	□No	□ N/A	Remarks:	
2.	Is a CHP 78 Contract F services exceeding \$4,9	Request used for one-time 999.99?	☐ Yes	□No	⊠ N/A	Remarks:	
3.		ith the requesting command used, followed by "CP" for	☐ Yes	□ No	⊠ N/A	Remarks:	
4.	Is the performance of co and documented?	ontract services monitored	⊠ Yes	☐ No	□ N/A	Remarks:	
5.	Are all copies of corresp maintained?	oondence with the vendor	⊠ Yes	☐ No	□ N/A	Remarks:	
6.		documented and maintained ms related to substandard or vendor?	⊠ Yes	□ No	□ N/A	Remarks: As needed or required.	
7.	specifically and in as mu CHP 78?	ich detail as possible in the	☐ Yes	□No	⊠ N/A	Remarks:	
8.	including the required do for expedite and emerger	approval/signature obtained, ocumentation and approvals ncy contracts per HPM 11.1, arding the CHP 78 or CHP	⊠ Yes	□ No	□ N/A	Remarks:	

STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

				ii
9. Are requests for contract services less than six months from the anticipated start date of the contract pre-approved by Assistant Commissioner, Staff, for expedited processing?	☐ Yes	□No	⊠ N/A	Remarks:
10. Is all work completed and accepted by the Department before expiration of contract agreement?	⊠ Yes	□No	□ N/A	Remarks:
11. Are contract services performed according to the quality, quantity, objectives, timeframes, and in the manner specified in the contract (e.g., review progress reports and interim products)?	⊠ Yes	□No	□ N/A	Remarks:
12. Are invoices for payment reviewed and approved to substantiate expenditures for work performed and to prevent penalties being assessed?	⊠ Yes	□ No	□ N/A	Remarks:
13. Are contract expenditures monitored to ensure there are <u>sufficient funds</u> to pay for all services rendered as required by contract?	⊠ Yes	□No	□ N/A	Remarks:
14. Does the requestor verify the contractor has fulfilled all requirements of the contract before approving the final invoice?	⊠ Yes	□ No	□ N/A	Remarks:
15. Is the final invoice identified and approved, as appropriate and forwarded to Fiscal Management Section for payment?	⊠ Yes	□No	□ N/A	Remarks:
16. Are all applicable form sections of the CHP 78 completed?	☐ Yes	☐ No	⊠ N/A	Remarks:
17. Do emergency contracts document and justify a sudden, unexpected occurrence that poses a clear and imminent danger, requiring immediate action to mitigate the loss or impairment of life, health, property, or essential public services?	⊠ Yes	□No	□ N/A	Remarks:
18. Are all employees associated with the management of a contract completing the CHP 78S, Conflict of Interest Statement, Employee, form?	⊠ Yes	□No	□ N/A	Remarks:
Are problems concerning the contractor's performance fully documented in writing and made a part of the contract manager's contract file?	⊠ Yes	□No	□ N/A	Remarks: As necessary or required.
20. Are contract amendment request dollar amounts increased more than 30%?	⊠ Yes	□No	□ N/A	Remarks:

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STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

COMMAND INSPECTION PROGRAM

INSPECTION CHECKLIST

21. Is the length of the contract amendment request more than one year?	☐ Yes	⊠ No	□ N/A	Remarks: Our CVIS uniform contract expires in 2010; however, we are projected to run-out of funds by 1/10/08. We are currently working toward securing adequate funds to facilitate uniform needs prescribed in the current contract.
22. Are amendments requested before the expiration of the original contract?	⊠ Yes	☐ No	⊠ N/A	Remarks:
23. Is a service contract on a CHP 78, Contract Request initiated for any commercial meeting/conference room rental which is expected to exceed \$4,999.99 in total cost?	☐ Yes	□No	⊠ N/A	Remarks:
24. Do conference room rental costs exceeding the \$500 per day limit have pre-approval from Assistant Commissioner, Staff?	☐ Yes	☐ No	⊠ N/A	Remarks:
25. Are California Department of Justice (DOJ) and Federal Bureau of Investigation (FBI) fingerprint checks and driver license checks conducted for all of the following types of agreements: (1) Avionics Maintenance and Repair (2) Helicopter Maintenance and Repair (3) Instructor Services (on-site) (4) Janitorial Services (5) Consulting Services	☐ Yes	□ No	⊠ N/A	Remarks:
26. Is a driver license check conducted for, but not limited to, all of the following types of agreements, if the contractor and/or specifically assigned personnel are scheduled to be on-site for more than 30 days: (1) Alarm and Fire Alarm Monitoring (2) Camera Maintenance and Repair (3) Carpet Installation (4) Diesel Generator Maintenance and Repair (5) Dishwasher Maintenance and Repair (6) Elevator Maintenance and Repair (7) Fire Extinguisher Service (8) Garage Door Maintenance and Repair (9) Graphic Arts Equipment Maintenance and Repair (10) Heating, Ventilation, and Air Conditioning Service (11) Laundry/Linen Service (12) Office Machine Maintenance and Repair (13) Painting Services (interior of facility) (14) Plumbing Services (15) Scale Maintenance and Repair (16) Steam Cleaning Services (Carpet, not scales) (17) Telephone Services (cellular, satellite, and regular) (18) Television Equipment Maintenance and Repair (19) Uninterruptible Power Supply Maintenance and Repair	☐ Yes	□ No	⊠ N/A	Remarks:

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STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

27. Are all driver license and fingerprint information forwarded to Contract Services Unit (CSU), along with the contract number for retention after Commander review?	☐ Yes	□ No	⊠ N/A	Remarks:
28. Is CSU advised by the command to determine if adverse information discovered is grounds for canceling the contract (i.e., adverse driver license and/or criminal history information is received regarding the contractor or the contractor's personnel)?	☐ Yes	□No	⊠ N/A	Remarks:
29. Are all invoices, records, and relevant documentation maintained for three years after the final payment of the contract?	⊠ Yes	□ No	□ N/A	Remarks:
30. Is a log sheet maintained for a diary of activities related to the contract?	⊠ Yes	□No	□ N/A	Remarks:
31. Is a computer file prepared for all contracts administered?	⊠ Yes	☐ No	□ N/A	Remarks:
32. Is a spreadsheet prepared listing all expenditures?	☐ Yes	☐ No	⊠ N/A	Remarks:
33. Is the notification to the contractor documented for the start date for services to begin?	☐ Yes	□No	⊠ N/A	Remarks:
34. Is the contractor contacted to determine if all invoices have been received in order to oversee the completion of the contract?	☐ Yes	☐ No	⊠ N/A	Remarks:
35. Do consultant services contracts of \$1,000 or more contain detailed performance criteria and a schedule for performance? (SCM Vol. I, Ch. 3, Section 3.02.1)	☐ Yes	☐ No	⊠ N/A	Remarks:
36. Does the contract file contain the STD. 4 Contractor Evaluation form for consultant contracts? (SCM Vol. I, Ch. 3, Section 3.02.5)	☐ Yes	□ No	⊠ N/A	Remarks:
37. Does Contract work only begin after approval of the final contract? (SCM Vol. 1, Ch. 4, Section 4.09)	☐ Yes	□ No	⊠ N/A	Remarks:
38. Are the requirements for Government Code Section 19130 (a) or (b) documented and justified for personal service contracts? (GC 19130 & SCM Vol. I, Ch. 7, Section 7.05)	☐ Yes	□No	⊠ N/A	Remarks:
39. Are any contract payments made prior to the final approval and execution of the contract? (SCM Vol. I, Ch. 4, Section 4.09)	☐ Yes	⊠ No	□ N/A	Remarks:

COMMAND INSPECTION PROGRAM EXCEPTIONS DOCUMENT

Command: Cottonwood IF	Division: Northern	Chapter: Three	
Inspected by:			
Lieutenant 1000	WOTISON	10/06/2008	

INSTRUCTIONS: This document shall be typed. Check appropriate boxes as necessary, or fill in the blanks as indicated. Enter the chapter number of the inspection in the Chapter Inspection number. Under "Forward to:" enter the next level of command where the document shall be routed to and its due date. This document shall be utilized to document innovative practices, suggestions for statewide improvement, identified deficiencies, corrective action plans, and may be used to appeal findings. A CHP 51 Memorandum may be used if additional space is required.

TYPE OF INSPECTION		☐ Corrective Action Plan Included		
☐ Division Level ☐ Command Level		Appeal Included		
☐ Executive Office Level		Attachments Included		
Follow-up Required: ☐ Yes ⊠ No	Forward to: Northern Division Due Date: 11/01/2008	Commander's Signature:	Date: 10/10/2008	
Chapter Inspection:	Hannel grown state or a policy		de armonismod car	
Inspector's Comments Re	garding Innovative Practic	es:		
Cottonwood Inspection Fa	icility has not implemented	any innovative practices warranting	•	

Cottonwood Inspection Facility has not implemented any innovative practices warranting departmental consideration. Our supervisory staff is encouraged to evaluate methods which enhance management, control and accountability of procured goods and purchases.

Command Suggestions for Statewide Improvement:

It is suggested that commanders ensure respective management/supervisory staff are actively involved with all aspects of procurement and purchasing to reduce waste/costs, and enhance oversight and accountability thereof.

Inspector's Findings:

Sergeant Vince Zambrana and Office Services Supervisor Diana Hutchinson assisted with completion of this inspection. They both share in the responsibility of procurement and purchasing and maintain a genuine regard for ensuring related policies and procedures are followed.

COMMAND INSPECTION PROGRAM

EXCEP	TIONS	DOCL	JMEN1
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Command: Cottonwood IF	Division: Northern	Chapter: Three		
Inspected by:	Morrison	Date: 10/10/2008		
Lieutenant Todd Morrison		10/10/2008		

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Commander's Respons	se:		

See Inspector's Findings.

Inspector's Comments:

See Inspector's Findings.

Required Action

Corrective Action Plan/Timeline

No corrective action required.

COMMAND INSPECTION PROGRAMEXCEPTIONS DOCUMENT

Command: Cottonwood IF	Division: Northern	Chapter: Three	
Inspected by:		Date:	
Lieutenant Todd	10/10/2008		

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Appeal Process: (Appeals shall be filed within five (5) business days of t	he completed chapter inspection).
Commander's Basis for Appeal:	
N/A	
Appeal Review/Decision: (This shall be the only level of appeal).	
	T Batas
ead Inspector's Signature:	10 - 10 - 08
Tool mong	Date:
esponding Commander's Signature (for appeal):	Date.

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STATE OF L. LIFORNIA
DEFAÉTMENT OF CALIFORNIA HIGHWAY PATROL

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements. Contracts

Command: NORTHERN	Division: NORTHERN	Number: 101		
Evaluated by: SUSANNA JENKINS, OSSII		Date: 11/13/2008		
Assisted by:		Date:		

TYPE OF INSPECTION		Lead Inspector's Signature:				
☐ Division Level	Command Level	h	MMA	W	Wo	HIT
	Voluntary Self-Inspection	1 000 70 1000 (
Follow-up Required: ☐ Yes ☐ No	Follow-up Inspection	Commande	r's Signature:	for	-, 6-	Date: 11-20-08
For applicable policy, refer to: H	PM 11.1, Chapter 22				,	
Is a CHP 78 Contract Requiservice contracts which are the estimated dollar value?		⊠ Yes	□No	□ N/A	Remarks:	
	_ 8		21	F		
 Is a CHP 78 Contract Requirements services exceeding \$4,999. 		⊠ Yes	☐ No	□ N/A	Remarks:	
 Is the Office of Primary Inte numbering beginning with the three-digit location code use contract payable listed on the 	ne requesting command ed, followed by "CP" for	⊠ Yes	□ No	□ N/A	Remarks:	
Is the performance of contra and documented?	act services monitored	⊠ Yes	□No	□ N/A	Remarks:	
5. Are all copies of correspond maintained?	dence with the vendor	⊠ Yes	□No	□ N/A	Remarks:	
Are letters for contracts doc which outline any problems non-performance of the ver	related to substandard or	⊠ Yes	□ No	□ N/A	Remarks:	
7. Is the final product to be de specifically and in as much CHP 78?		⊠ Yes	☐ No	□ N/A	Remarks:	
8. Are all required levels of ap including the required docu for expedite and emergenc Chapter 22, before forward 78A?	imentation and approvals by contracts per HPM 11.1,	⊠ Yes	□No	□ N/A	Remarks:	

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

9	Are requests for contract services less than six months from the anticipated start date of the contract pre-approved by Assistant Commissioner, Staff, for expedited processing?	⊠ Yes	□ No	□ N/A	Remarks:
1	D. Is all work completed and accepted by the Department before expiration of contract agreement?	⊠ Yes	□No	□ N/A	Remarks:
1	 Are contract services performed according to the quality, quantity, objectives, timeframes, and in the manner specified in the contract (e.g., review progress reports and interim products)? 	⊠ Yes	∏ No	□ N/A	Remarks:
	2. Are invoices for payment reviewed and approved to substantiate expenditures for work performed and to prevent penalties being assessed?	⊠ Yes	□No	□ N/A	Remarks:
	3. Are contract expenditures monitored to ensure there are <u>sufficient funds</u> to pay for all services rendered as required by contract?	⊠ Yes	□No	□ N/A	Remarks:
	4. Does the requestor verify the contractor has fulfilled all requirements of the contract before approving the final invoice?	⊠ Yes	□No	□ N/A	Remarks:
	5. Is the final invoice identified and approved, as appropriate and forwarded to Fiscal Management Section for payment?	⊠ Yes	∏ No	□ N/A	Remarks:
1	6. Are all applicable form sections of the CHP 78 completed?	⊠ Yes	□No	□ N/A	Remarks:
	7. Do emergency contracts document and justify a sudden, unexpected occurrence that poses a clear and imminent danger, requiring immediate action to mitigate the loss or impairment of life, health, property, or essential public services?	⊠ Yes	□No	□ N/A	Remarks:
1	8. Are all employees associated with the management of a contract completing the CHP 78S, Conflict of Interest Statement, Employee, form?	☐ Yes	□No	⊠ N/A	Remarks: PER BUSINESS SERVICES, NOT REQUIRED AT THIS TIME
	9. Are problems concerning the contractor's performance fully documented in writing and made a part of the contract manager's contract file?	⊠ Yes	□No	□ N/A	Remarks:
2	Are contract amendment request dollar amounts increased more than 30%?	Yes	⊠ No	□ N/A	Remarks:

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

-					
	21. Is the length of the contract amendment request more than one year?	☐ Yes	⊠ No	□ N/A	Remarks:
	22. Are amendments requested before the expiration of the original contract?	⊠ Yes	☐ No	□ N/A	Remarks:
	23. Is a service contract on a CHP 78, Contract Requestinitiated for any commercial meeting/conference room rental which is expected to exceed \$4,999.99 itotal cost?	☐ Yes	□ No	□ N/A	Remarks:
	24. Do conference room rental costs exceeding the \$500 per day limit have pre-approval from Assistant Commissioner, Staff?	0 Yes	□No	□ N/A	Remarks:
	 25. Are California Department of Justice (DOJ) and Federal Bureau of Investigation (FBI) fingerprint checks and driver license checks conducted for all of the following types of agreements: (1) Avionics Maintenance and Repair (2) Helicopter Maintenance and Repair (3) Instructor Services (on-site) (4) Janitorial Services (5) Consulting Services 	⊠ Yes	□No	□ N/A	Remarks:
	26. Is a driver license check conducted for, but not limited to, all of the following types of agreements, i the contractor and/or specifically assigned personne are scheduled to be on-site for more than 30 days: (1) Alarm and Fire Alarm Monitoring (2) Camera Maintenance and Repair (3) Carpet Installation (4) Diesel Generator Maintenance and Repair (5) Dishwasher Maintenance and Repair (6) Elevator Maintenance and Repair (7) Fire Extinguisher Service (8) Garage Door Maintenance and Repair (9) Graphic Arts Equipment Maintenance and Repair (10) Heating, Ventilation, and Air Conditioning Service (11) Laundry/Linen Service (12) Office Machine Maintenance and Repair (13) Painting Services (interior of facility) (14) Plumbing Services (15) Scale Maintenance and Repair (16) Steam Cleaning Services (Carpet, not scales) (17) Telephone Services (cellular, satellite, and regular) (18) Television Equipment Maintenance and Repair (19)Uninterruptible Power Supply Maintenance and Repair		⊠ No	□ N/A	Remarks: NORTHERN DIVISION DOES NOT CURRENTLY HAVE ANY VENDORS WORKING ON SITE FOR OVER 30 DAYS.

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

V				
27. Are all driver license and fingerprint informat forwarded to Contract Services Unit (CSU), a with the contract number for retention after Commander review?	ion along 🖾 Yes	□No	□ N/A	Remarks:
28. Is CSU advised by the command to determin adverse information discovered is grounds for canceling the contract (i.e., adverse driver lice and/or criminal history information is received regarding the contractor or the contractor's personnel)?	or 🛮 🖾 Yes	□ No	□ N/A	Remarks:
29. Are all invoices, records, and relevant docummaintained for three years after the final pay the contract?		□No	□ N/A	Remarks :
30. Is a log sheet maintained for a diary of activi related to the contract?	ties 🛮 🖂 Yes	☐ No	□ N/A	Remarks:
31. Is a computer file prepared for all contracts administered?	⊠ Yes	□No	□ N/A	Remarks:
32. Is a spreadsheet prepared listing all expendi	tures?	□No	□ N/A	Remarks:
33. Is the notification to the contractor document the start date for services to begin?	ted for Yes	□No	□ N/A	Remarks:
34. Is the contractor contacted to determine if al have been received in order to oversee the completion of the contract?	l invoices	□No	□ N/A	Remarks:
35. Do consultant services contracts of \$1,000 contain detailed performance criteria and a source for performance? (SCM Vol. I, Ch. 3, Section	schedule 🛮 🖂 Yes	□ No	□ N/A	Remarks:
36. Does the contract file contain the STD. 4 Contracts? Evaluation form for consultant contracts? (SCM Vol. I, Ch. 3, Section 3.02.5)	⊠ Yes	□ No	□ N/A	Remarks:
37. Does Contract work only begin after approve final contract? (SCM Vol. 1, Ch. 4, Section 4		☐ No	□ N/A	Remarks:
38. Are the requirements for Government Code 19130 (a) or (b) documented and justified for personal service contracts? (GC 19130 & S Ch. 7, Section 7.05)	or 🛛 🖾 Yes	☐ No	□ N/A	Remarks:
39. Are any contract payments made prior to the approval and execution of the contract? (SC Ch. 4, Section 4.09)		⊠ No	□ N/A	Remarks:

1 of 2

STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements X-Number Program

Division:	Number:		
NORTHERN	101		
Evaluated by:			
SUSANNA JENKINS, OSS II			
	Date:		
	NORTHERN		

TYPE OF INSPECTION			ctor's Signatu			
☐ Division Level ☐ Command Level		huanna Genard, OSCII				
☐ Executive Office Level ☐ Voluntary Self-Inspection		I manife of				
Follow-up Required:	ion	Commander's Signature: Date:				
les		6	Szento	~~, h	T 11-20-08	
For applicable policy, refer to: HPM 11.1, Chapter 2	23					
 Are multiple X Numbers awarded to the same ve to circumvent the \$4,999 contract limit? 		☐ Yes	⊠ No	□ N/A	Remarks:	
Does all X Number file documentation contain the STD. 204 Payee Data Record?	е	⊠ Yes	□No	□ N/A	Remarks:	
3. Do X Numbers requiring a contract (i.e., janitorial landscaping) have prior approval from the Busine Services Section commander?		⊠ Yes	□No	□ N/A	Remarks:	
4. Are X Number requests made prior to the date the services are performed?	те	⊠ Yes	□No	□ N/A	Remarks:	
5. Are X Numbers issued for a one-time use?		⊠ Yes	□No	□ N/A	Remarks:	
6. Are prohibited services performed using an X Number?		☐ Yes	⊠ No	□ N/A	Remarks:	
7. Are X Numbers used for the procurement of a service and not the purchase of a commodity?		⊠ Yes	□No	□ N/A	Remarks:	
8. Are X Numbers issued for telecommunications related services pre-approved by Telecommunications Section?		⊠ Yes	□No	□ N/A	Remarks:	
 Do X Numbers used for facilities related services (such as roof repair, electrical) costing over \$1,0 have prior approval from Facilities Section? 		⊠ Yes	□No	□ N/A	Remarks:	
10. Do X Numbers issued for lapsed contractual agreements have prior approval by the appropria Assistant Commissioner?	ate	⊠ Yes	☐ No	□ N/A	Remarks:	

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STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements X-Number Program

11. Do all X Numbers awarded to a non-small business vendor contain three price quotations?	⊠ Yes	□No	□ N/A	Remarks:
12. Do all X Numbers awarded to a small business vendor contain the small business certification from the Department of General Services (DGS)?	⊠ Yes	☐ No	□ N/A	Remarks:
13. Does the file documentation contain the STD. 21 Drug Free workplace certification for X Number vendors?	⊠ Yes	□No	□ N/A	Remarks:
14. Do emergency service X Numbers document and justify the emergency?	⊠ Yes	□No	□ N/A	Remarks:
15. Is the itemized invoice for each X Number service maintained in the command's files?	⊠ Yes	☐ No	□ N/A	Remarks:

1 of 3

STATE OF CALIFORNIA
DEPAR (MENT OF CALIFORNIA HIGHWAY PATROL

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Purchases

Command:	Division:	Number:
NORTHERN	NORTHERN	101
Evaluated by:	Date:	
SUSANNA JEN	11/13/2008	
Assisted by:		Date:

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected. TYPE OF INSPECTION Lead Inspector's Signature: Command Level ☐ Division Level ☐ Executive Office Level ☐ Voluntary Self-Inspection Commander's Signature: Date: Follow-up Required: Follow-up Inspection Yes \bowtie No For applicable policy, refer to: HPM 11.2, Chapter 7 Are participants in the procurement process at the Remarks: X Yes □ N/A command level familiar with the related policies and □ No procedures for purchasing? 2. Have Approvers/reviewers of purchases received Remarks: procurement training? Yes ☐ No □ N/A 3. Are prohibited items procured on CHP 43, Purchases Remarks: Requisitions? ☐ Yes ⊠ No \square N/A Supplies for personally – owned equipment Commodities for personal use Confirming order Purchases via the internet 4. Are separate CHP 43s, Purchase Requisitions, Remarks: X Yes prepared for commodity items obtainable from □ No □ N/A different suppliers or from different statewide commodity contracts? 5. Is all required information entered on the CHP 43, Remarks: Purchase Requisition? X Yes ΠNo □ N/A Are the CHP 43, Purchase Requisitions, numbered Remarks: consecutively, starting anew at the beginning of each X Yes □ No □ N/A fiscal year (July 1)? 7. Are expedited requests for the purchase of goods Remarks: forwarded to the Assistant Commissioner, Staff, for ⊠ Yes ΠNο □ N/A approval?

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Purchases

8.	Do specialized items purchased contain the appropriate Division, and/or OPI approvals?	⊠ Yes	□No	□ N/A	Remarks:
9.	Are the CHP 43, Purchase Requisitions, competitively bid?	⊠ Yes	□No	□ N/A	Remarks:
10	Does the CHP 315, Price Comparison Worksheet, document at least two price quotations?	⊠ Yes	□No	□ N/A	Remarks:
11	. Are Limited Competitive Bidding purchase requests that limit or restrict the purchase to one specific brand or model justified and in compliance with SAM 3555?	☐ Yes	□ No	⊠ N/A	Remarks: Headquarters function
12	. Are Limited Competitive Bidding purchase requests for items that interface with existing departmental equipment in compliance with SAM 3555.3?	☐ Yes	☐ No	⊠ N/A	Remarks: Headquarters function
13	. Do Non-Competitive Bid (NCB) purchase requests contain the NCB justification and NCB Corrective Action Plan documents?	⊠ Yes	□No	□ N/A	Remarks:
14	. Are items checked immediately for content and damage when delivered?	⊠ Yes	□No	□ N/A	Remarks:
15	i. Is the "received copy" of the purchase order approved, dated, and forwarded to the Fiscal Management Section (FMS), Account Payable Unit, within three business days of receipt, if all items are accepted?	⊠ Yes	□No	□ N/A	Remarks:
16	6. Are freight and/or packing slips attached to the received copy of the purchase order and sent to FMS?	⊠ Yes	□No	□ N/A	Remarks:
17	7. Is FMS provided a photocopy of the purchase order and any approved freight or packing slips as acknowledgement that a portion of the order has been received?	⊠ Yes	□No	□ N/A	Remarks:
	3. Is the original "received copy" retained by the command for completion and forwarding to the FMS when the complete shipment is received?	⊠ Yes	□No	□ N/A	Remarks:
1	 Are <u>Damaged items</u> delivered by common carrier acknowledged on the freight bill by the carrier's driver before being accepted? 	∵ ⊠ Yes	□No	□ N/A	Remarks:

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Purchases

20. Is Purchasing Services Unit (PSU) notified immediately by telephone, followed in writing either by a memorandum or e-mail, requesting cancellation of the requisition or deletion of an item, if it is determined that a commodity requested on a CHP 43 is no longer needed and a purchase order has not yet been prepared?	⊠ Yes	□ No	□ N/A	Remarks:
21. Are open purchase orders periodically reviewed and investigated to ensure the orders are not opened for an unreasonable length of time. (SAM 8422.0)	⊠ Yes	□ No	□ N/A	Remarks:
22. Are copies of the purchase requisitions and purchase orders maintained for three years after payment? (SCM Vol. II, Ch. 11, Topic 4)	⊠ Yes	□ No	□ N/A	Remarks:
23. Are decisions documented to create a paper trail documenting the basis of the decisions made for the purchase? (SCM Vol II Ch. 2, Topic 11)	⊠ Yes	☐ No	□ N/A	Remarks:
24. Are purchase orders split to evade competitive bidding requirements or to circumvent the Department's delegated purchase authority limits? (Public Contracts Code Section 10329)	☐ Yes	⊠ No	□ N/A	Remarks:

COMMAND IN	SPECTION	PROGRAM
EXCEPTIONS	DOCUMEN	Т

Command: Northern	Division: Northern	Chapter: 3	
Inspected by:		Date:	
Susanna Jenki	ns, OSSII	11/13/08	

INSTRUCTIONS: This document shall be typed. Check appropriate boxes as necessary, or fill in the blanks as indicated. Enter the chapter number of the inspection in the Chapter Inspection number. Under "Forward to:" enter the next level of command where the document shall be routed to and its due date. This document shall be utilized to document innovative practices, suggestions for statewide improvement, identified deficiencies, corrective action plans, and may be used to appeal findings. A CHP 51 Memorandum may be used if additional space is required.

and the regard of the regard of			
TYPE OF INSPECTION		Corrective Action Plan Included	
Division Level x Command L	evel	Appeal Included	
Executive Office Level		Attachments Included	
Follow-up Required:	Forward to:	Commander's Signature:	Date:
☐ Yes x No	Due Date:	Helper Tell	B-18-09
Chapter Inspection:	CALCARD		
Inspector's Comments Rega		es:	
None			
		*(
*			
Command Suggestions for S	Statewide Improvement:		
		*	
None			
			3
Inspector's Findings:			

Cal-Card Program: Personnel issued Cal-Cards were found to be in personal possession of their assigned cards. Policy requires the physical security on the credit cards.

Corrective Action Plan/Timeline

COMMAND INSPECTION PROGRAMEXCEPTIONS DOCUMENT

Page 2

Command: Northern Div.	Northern Division	Chapter: 3
Inspected by: Susanna Jenki	ns, OSSII	11/13/08

Commander's Response:
I concur with the findings of the evaluator.
Inspector's Comments:
Maria a
None.
Required Action

The office manager was directed to immediately retrieve the cards and ensure they are accessible only to persons who have purchasing duties. The cards are stored in the Office Services Supervisor's office in a secure area.

COMMAND INSPECTION PROGRAM EXCEPTIONS DOCUMENT

Page 3	3
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Command: Division: Northern		Chapter: 3	
Northern			
Inspected by:		Date:	
Susanna Je	nkins, OSSII	11/13/08	

Appeal Process: (Appeals shall be filed within five (5) business days of the	completed chapter inspection).
Commander's Basis for Appeal:	
N/A	
#	
Appeal Review/Decision: (This shall be the only level of appeal).	
→	
Lead Inspector's Signature:	Date: , 1 /
XNDEIMA PAUS	11/20/2008
Responding Commander's Signature (for appeal):	Date:

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Cal-Card Program

Command: NORTHERN	Division: NORTHERN	Number: 101
Evaluated by: SUSANNA JEN	Date: 11/13/2008	
Assisted by:		Date:

1						
TYPE OF INSPECTION Lead Inspector's Signature:						
☐ Division Level ☐ Command Level	Tronger Jenus, ORSIT					
☐ Executive Office Level ☐ Voluntary Self-Inspection	//					
Follow-up Required:	Commander ('s Signature:	~, 2	Date: - 11-20-05		
For applicable policy, refer to: HPM 11.2, Chapter 3			W W			
 Are all employees associated with the use of the Cal- Card program completing the CHP 78S, Conflict of Interest Statement, Employee, form? 	☐ Yes	□No	⊠ N/A	Remarks:Not required at this time.		
Are STD. 21 Drug Free Workplace certifications maintained within the Cal Card command file for each vendor utilized?	⊠ Yes	□No	□ N/A	Remarks:		
 Are STD. 204 Payee Data Record forms maintained in the Cal Card command file for each vendor utilized? 	⊠ Yes	□ No	□ N/A	Remarks:		
Are California Integrated Waste Management Board Form 74 documents maintained for each vendor utilized?	⊠ Yes	□No	□ N/A	Remarks:		
5. If the vendor is a small business or DVBE is utilized, is the certification letter from the Department of General Services maintained in the file?	⊠ Yes	□No	□ N/A	Remarks:		
6. When fair and reasonable is utilized, is the fair and reasonable method documented and properly justified?		□No	□ N/A	Remarks		
7. Are purchases split into multiple transactions in orde to circumvent transaction purchase limits?	r Yes	⊠ No	□ N/A	Remarks:		
Does the CHP 317 Cal Card Log fully describe the purchase?	⊠ Yes	□No	□ N/A	Remarks:		
9. Are bank statements reconciled with the CHP 317 Cal Card Log and the receipts/invoices?	⊠ Yes	☐ No	□ N/A	Remarks;		

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Cal-Card Program

Command: NORTHERN	Division: NORTHERN	Number: 101
Evaluated by: SUSANNA JENKINS, OSSII		Date: 11/13/2008
Assisted by:		Date:

1						
TYPE OF INSPECTION Lead Inspector's Signature:						
☐ Division Level ☐ Command Level			France Jenus, ORSTE			
☐ Executive Office Level ☐ Voluntary Self-Inspection						
Follow-up Required:			Commander's Signature: Date: 11-20-0'8			
			6			
n completing the CHP 78S, Conflict of	☐ Yes	□No	⊠ N/A	Remarks:Not required at this time.		
Drug Free Workplace certifications vithin the Cal Card command file for	⊠ Yes	□No	□ N/A	Remarks:		
4 Payee Data Record forms maintained ard command file for each vendor	⊠ Yes	☐ No	□ N/A	Remarks:		
Are California Integrated Waste Management Board Form 74 documents maintained for each vendor utilized?		☐ No	□ N/A	Remarks:		
cation letter from the Department of	⊠ Yes	□No	□ N/A	Remarks:		
	⊠ Yes	□No	□ N/A	Remarks:		
nt transaction purchase limits?	☐ Yes	⊠ No	□ N/A	Remarks:		
HP 317 Cal Card Log fully describe the	⊠ Yes	□No	□ N/A	Remarks:		
		□No	□ N/A	Remarks:		
	Voluntary Self-Inspection quired: No Toy, refer to: HPM 11.2, Chapter 3 Expess associated with the use of the Calmon completing the CHP 78S, Conflict of ement, Employee, form? Drug Free Workplace certifications within the Cal Card command file for rutilized? 4 Payee Data Record forms maintained and command file for each vendor ia Integrated Waste Management Board cuments maintained for each vendor ir is a small business or DVBE is utilized, cation letter from the Department of rvices maintained in the file? Ind reasonable is utilized, is the fair and method documented and properly	Command Level Voluntary Self-Inspection Quired: Follow-up Inspection Commanded Voluntary Self-Inspection Voluntary Self-Ins	Command Level	Voluntary Self-Inspection Voluntary Self-Inspection		

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STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Cal-Card Program

10. Is the CHP 317 Cal Card Log properly authorized and maintained?	⊠ Yes	□ No	□ N/A	Remarks:
Are credit invoices/receipts for returned items maintained with the bank statement?	⊠ Yes	□No	□ N/A	Remarks:
12. Do non-itemized purchase receipts/invoices document the purchase by listing the commodity, quantity, and unit price of the item(s) purchased on the bank statement.		□ No	□ N/A	Remarks:
13. Are Cal Cards maintained in a secure area?	☐ Yes	⊠ No	□ N/A	Remarks:Employee's have possession of their CALCards.
14. Are Cal Card purchases pre-approved by the commander?	⊠ Yes	☐ No	□ N/A	Remarks:
15. Have all cardholders received training on the Department's procurement processes?	⊠ Yes	☐ No	□ N/A	Remarks:
16. Are item(s) purchased with the Cal Card prohibited by departmental policy?	☐ Yes	⊠ No	□ N/A	Remarks:

STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

COMMAND INSPECTION PROGRAM EXCEPTIONS DOCUMENT

Command: Division: Northern		Chapter:	
Inspected by: Bettina Oidham, Office	Services Supervisor	Date: 11/19/2008	

INSTRUCTIONS: This document shall be typed. Check appropriate boxes as necessary, or fill in the blanks as indicated. Enter the chapter number of the inspection in the Chapter Inspection number. Under "Forward to:" enter the next level of command where the document shall be routed to and its due date. This document shall be utilized to document innovative practices, suggestions for statewide improvement, identified deficiencies, corrective action plans, and may be used to appeal findings. A CHP 51 Memorandum may be used if additional space is required.

TYPE OF INSPECTION Division Level M Command Level Executive Office Level		☐ Corrective Action Plan Included ☐ Appeal Included ☐ Attachments Included		
Follow-up Required: ☐ Yes	Forward to: Due Date:	Commander's Signature: Date: 02/09/20		
Chapter Inspection: Comming Inspector's Comments Reg		ntracts/Cal-Card/X-Number/Purchases lices:	्रम्मी स्ट्रांस स्ट्	

Command	Suggestions for	Statewide	Improvement:

Inspector's Findings:

Contracts:

Area has not had the opportunity to utilize the following categories: 3) Office of Primary Interest (OPI) tracking numbering beginning with the requesting command three-digit location code used, followed "CP" for contract payable listed on the CHP 78; 21) The length of the contract amendment request more than one year; 22) Amendments requested before the expiration of the original contract; 23) A service contract on a CHP 78, Contract Request initiated for any commercial meeting/conference room rental which is expected to exceed \$4,999.99 in total cost; 24) Conference room rental costs exceeding the \$500.00 per day limit have pre-approval from Assistant Commissioner, Staff; 25) DOJ and FBI fingerprint check and driver license checks conducted for all of the following types of agreements; 26) Driver license check conducted for, but not limited to, all of the following types of agreements, if the contractor and/or specifically assigned personnel are scheduled to be on-site for more than 30 days;

CHP 580A (Rev. 09-08) OPI 010

STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

COMMAND INSPECTION PROGRAM

EXCEPTIONS DOCUMENT

36) The contract file contain the STD 4 Contractor Evaluation form for personal services contracts; 38) The requirements for Government Code Section 19130 (a) or (b) documented and justified for personal service contacts.

BURE BALL FOR LAFRE SET .

Cal-Card Program:

Area has not had the opportunity to exercise the following options: 6) When fair & reasonable is utilized, is the fair and reasonable method documented and properly justified.

X-Number Program:

Area has not had the opportunity to exercise the following options: 3) X Numbers requiring a contract (i.e., janitorial or landscaping) have prior approval from the Business Services Section commander; 10) X Numbers issued for lapsed contractual agreements have prior approval by the appropriate Assistant Commissioner.

Purchases:

If there is no State Contract available, Area Purchase Requisitions are competitively bid.

Command: Williams Area	Division: Northern	Chapter:	Į
Inspected by: Bettina Oldham, Office	Services Supervisor	Date: 11/19/2008	

Page 2

Commande	r's F	Response:

All procurement related activities are being conducted in accordance with Departmental policies and procedures.

mments:

I concur.

STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

COMMAND INSPECTION PROGRAM

EXCEPTIONS DOCUMENT

Required Action: None

Corrective Action Plan/Timeline: N/A

Command: Williams	Division: Northern	Chapter:
Inspected by:		Date:
Beltina Oldham, Office Services Supervisor		11/19/2008

Page 3

Appeal Process: (Appeals shall be filed within five (5) business days of the completed chapter inspection).

Commander's Basis for Appeal:

STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL
COMMAND INSPECTION PROGRAM
EXCEPTIONS DOCUMENT

Appeal Review/Decision:	(This shall be the only level of appeal).	-1

2	
Lead Inspector's Signature:	Date: 2/10/2009
Responding Commander's Signature (for appeal):	Date: 2/10/2009

COMMAND INSPECTION PROGRAM FXCEPTIONS DOCUMENT

Command:	Division:	Chapter:
Humboldt Area	Northern	Three
Inspected by: Sergeant Hal Rosendahl		Date: 03/13/2009

INSTRUCTIONS: This document shall be typed. Check appropriate boxes as necessary, or fill in the blanks as indicated. Enter the chapter number of the inspection in the Chapter Inspection number. Under "Forward to:" enter the next level of command where the document shall be routed to and its due date. This document shall be utilized to document innovative practices, suggestions for statewide improvement, identified deficiencies, corrective action plans, and may be used to appeal findings. A CHP 51 Memorandum may be used if additional space is required. Corrective Action Plan Included TYPE OF INSPECTION ☐ Division Level ☐ Command Level Appeal Included ☐ Executive Office Level ☐ Attachments Included Commander's Signature: Date: Forward to: Follow-up Required: Northern Division ⊠ No ☐ Yes 03/13/09 Due Date: 03/20/2009 Chapter Inspection: Chapter Three - Command Procurements, Contracts, X-numbers, Purchases, Cal-Card Inspector's Comments Regarding Innovative Practices: Humboldt Area has not implemented any innovative practices warranting departmental consideration. Our supervisory staff is encouraged to evaluate methods which would improve command procurement procedures and accountability. Command Suggestions for Statewide Improvement: Humboldt Area has no suggestions for Statewide improvement. Inspector's Findings: Sergeant Hal Rosendahl was the primary inspector and OSSI Kimberly Holland assisted with completion of these inspections. They both share in responsibility and oversight of command procure ments and have a genuine concern for ensuring related policies and procedures are followed.

COMMAND INSPECTION PROGRAM EXCEPTIONS DOCUMENT

Command:	Division:	Chapter:
Humboldt Area	Northern	Three
Inspected by:		Date:
Sergeant Hal Rosendahl		03/13/2009

Page 2

Commander's Response:	
Communication (Cooperior)	
See inspector's findings.	
Inspector's Comments:	
Car impropriate findings	
See inspector's findings	
Required Action: None required	
Corrective Action Plan/Timeline	

COMMAND INSPECTION PROGRAM

EXCEPTIONS DOCUMENT

Command:	Division:	Chapter:	
Humboldt Area	Northern	Three	
Inspected by: Sergeant Hal Ro		Date: 03/13/2009	

Page 3

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Appeal Process: (Appeals shall be filed within five (5) business days of the	completed chapter inspection).
Appear 1 Tocess. (Appears shall be filed within the (b) business says of an	
Commander's Basis for Appeal:	
N/A	
10/7	
Appeal Review/Decision: (This shall be the only level of appeal).	
*	
Lead Inspector's Signature:	Date:
Responding Commander's Signature (for appeal):	Date:
	J

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Purchases

Command: Ukiah Area	Division: Northern	Number:
Evaluated by:	Date:	
Sgt. Chris Parede	Oct. 30, 2008	
Assisted by:	Date:	
Captain Ray Mac	Oct. 30, 2008	

TYPE OF INSPECTION				Lead Inspector's Signature:				
Division Level Scommand Level Chatgha Panda								
☐ Exe	ecutive Office Level	Voluntary Self-Inspection		V	-	rian		
Fo	llow-up Required:		Commander's Signature: Date: O					
	Yes No	Follow-up Inspection	MC	://			101/08	
For ap	oplicable policy, refer to:	HPM 11.2, Chapter 7						
1.	Are participants in the proc command level familiar wit procedures for purchasing	th the related policies and	⊠ Yes	□No	□ N/A	Remarks:		
2.	Have Approvers/reviewers procurement training?	of purchases received	⊠ Yes	□No	□ N/A	Remarks:		
3.	Are prohibited items procu Requisitions?	red on CHP 43, Purchases	☐ Yes	⊠ No	□ N/A	Remarks:		
	Commodities for pConfirming orderPurchases via the	internet						
4.	Are separate CHP 43s, Pu prepared for commodity its different suppliers or from a commodity contracts?	ms obtainable from	⊠ Yes	☐ No	□ N/A	Remarks:		
5.	is all required information of Purchase Requisition?	entered on the CHP 43,	⊠ Yes	☐ No	□ N/A	Remarks:		
6.	Are the CHP 43, Purchase consecutively, starting ane fiscal year (July 1)?	w at the beginning of each	⊠ Yes	□ No	□ N/A	Remarks:		
7.	Are expedited requests for forwarded to the Assistant approval?		⊠ Yes	□No	□ N/A	Remarks:		

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Purchases

8.	Do specialized items purchased contain the appropriate Division, and/or OPI approvals?	⊠ Yes	□No	□ N/A	Remarks:
9.	Are the CHP 43, Purchase Requisitions, competitively bid?	⊠ Yes	□No	□ N/A	Remarks:
10.	Does the CHP 315, Price Comparison Worksheet, document at least two price quotations?	⊠ Yes	□No	□ N/A	Remarks:
	Are Limited Competitive Bidding purchase requests that limit or restrict the purchase to one specific brand or model justified and in compliance with SAM 3555?	⊠ Yes	□ No	□ N/A	Remarks:
12.	Are Limited Competitive Bidding purchase requests for items that interface with existing departmental equipment in compliance with SAM 3555.3?	⊠ Yes	□ No	□ N/A	Remarks:
13.	Do Non-Competitive Bid (NCB) purchase requests contain the NCB justification and NCB Corrective Action Plan documents?	⊠ Yes	□ No	□ N/A	Remarks:
14.	Are items checked immediately for content and damage when delivered?	⊠ Yes	□No	□ N/A	Remarks:
15.	Is the "received copy" of the purchase order approved, dated, and forwarded to the Fiscal Management Section (FMS), Account Payable Unit, within three business days of receipt, if all items are accepted?	⊠ Yes	□No	□ N/A	Remarks:
16.	Are freight and/or packing slips attached to the received copy of the purchase order and sent to FMS?	⊠ Yes	☐ No	□ N/A	Remarks:
17.	Is FMS provided a photocopy of the purchase order and any approved freight or packing slips as acknowledgement that a portion of the order has been received?	⊠ Yes	□ No	.□ N/A	Remarks:
	Is the original "received copy" retained by the command for completion and forwarding to the FMS when the complete shipment is received?	⊠ Yes	□No	□ N/A	Remarks:
19.	Are <u>Damaged items</u> delivered by common carrier acknowledged on the freight bill by the carrier's driver before being accepted?	⊠ Yes	□No	□ N/A	Remarks:
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COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Purchases

20	Is Purchasing Services Unit (PSU) notified immediately by telephone, followed in writing either by a memorandum or e-mail, requesting cancellation of the requisition or deletion of an item, if it is determined that a commodity requested on a CHP 43 is no longer needed and a purchase order has not yet been prepared?	⊠ Yes	□ No	□ N/A	Remarks:
21.	Are open purchase orders periodically reviewed and investigated to ensure the orders are not opened for an unreasonable length of time. (SAM 8422.0)	⊠ Yes	□No	□ N/A	Remarks:
22.	Are copies of the purchase requisitions and purchase orders maintained for three years after payment? (SCM Vol. II, Ch. 11, Topic 4)	⊠ Yes	□ No	□ N/A	Remarks:
23.	Are decisions documented to create a paper trail documenting the basis of the decisions made for the purchase? (SCM Vol II Ch. 2, Topic 11)	⊠ Yes	□ No	□ N/A	Remarks:
24.	Are purchase orders split to evade competitive bidding requirements or to circumvent the Department's delegated purchase authority limits? (Public Contracts Code Section 10329)	☐ Yes	⊠ No	□ N/A	Remarks:

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STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Contracts

Command: Ukiah Area	Division: Northern	Number: 150		
Evaluated by: Sergeant Chris P	Date: 11/01/08			
Assisted by: Officer Marian Ho	Date: 11/01/08			

TYPE OF	INSPECTION		Lead Inspe	ctor's Signatu	re:			
_	sion Level cutive Office Level	☐ Command Level☐ Voluntary Self-Inspection	Chofphi D Bude					
	cutive Office Level		0,			course la familia de la famili		
Fol	llow-up Required: │Yes ⊠ No	Follow-up Inspection	Commande	er's Signature:		Date/ 101/08		
For ap	plicable policy, refer to	o: HPM 11.1, Chapter 22						
1.		Request used to initiate all are repetitive, regardless of ue?	⊠ Yes	□ No	□ N/A	Remarks:		
2.	Is a CHP 78 Contract I services exceeding \$4,	Request used for one-time 999.99?	Yes	□ No	⊠ N/A	Remarks:		
3.		ith the requesting command used, followed by "CP" for	⊠ Yes	□ No	□ N/A	Remarks:		
4.	Is the performance of c and documented?	ontract services monitored	☐ Yes	⊠ No	□ N/A	Remarks: Currently discussed on flow charts		
5.	Are all copies of corres maintained?	pondence with the vendor	⊠ Yes	☐ No	□ N/A	Remarks:		
1		documented and maintained ems related to substandard or vendor?	Yes	⊠ No	□ N/A	Remarks: Problems are maintained via e-mail for tracking purposes		
7.	Is the final product to be specifically and in as m CHP 78?	e delivered described uch detail as possible in the	⊠ Yes	□ No	□ N/A	Remarks:		
	including the required of for expedite and emerg	of approval/signature obtained, ocumentation and approvals ency contracts per HPM 11.1, varding the CHP 78 or CHP	⊠ Yes	□ No	□ N/A	Remarks:		

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

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9.	Are requests for contract services less than six months from the anticipated start date of the contract pre-approved by Assistant Commissioner, Staff, for expedited processing?	☐ Yes	□ No	⊠ N/A	Remarks:
	Is all work completed and accepted by the Department before expiration of contract agreement?	⊠ Yes	□No	□ N/A	Remarks:
	Are contract services performed according to the quality, quantity, objectives, timeframes, and in the manner specified in the contract (e.g., review progress reports and interim products)?	⊠ Yes	□ No	□ N/A	Remarks:
	Are invoices for payment reviewed and approved to substantiate expenditures for work performed and to prevent penalties being assessed?	⊠ Yes	☐ No	□ N/A	Remarks:
	Are contract expenditures monitored to ensure there are sufficient funds to pay for all services rendered as required by contract?	⊠ Yes	☐ No	□ N/A	Remarks:
	Does the requestor verify the contractor has fulfilled all requirements of the contract before approving the final invoice?	⊠ Yes	□ No	□ N/A	Remarks:
15.	Is the final invoice identified and approved, as appropriate and forwarded to Fiscal Management Section for payment?	Yes	☐ No	⊠ N/A	Remarks:
16.	Are all applicable form sections of the CHP 78 completed?	⊠ Yes	□No	□ N/A	Remarks:
	Do emergency contracts document and justify a sudden, unexpected occurrence that poses a clear and imminent danger, requiring immediate action to mitigate the loss or impairment of life, health, property, or essential public services?	⊠ Yes	□No	□ N/A	Remarks:
	Are all employees associated with the management of a contract completing the CHP 78S, Conflict of Interest Statement, Employee, form?	☐ Yes	□ No	⊠ N/A	Remarks:
19.	Are problems concerning the contractor's performance fully documented in writing and made a part of the contract manager's contract file?	☐ Yes	☐ No	⊠ N/A	Remarks:
20.	Are contract amendment request dollar amounts increased more than 30%?	☐ Yes	□No	N/A	Remarks:

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

21. Is the length of the contract amendment request more than one year?	Yes	□No	⊠ N/A	Remarks:
22. Are amendments requested before the expiration of the original contract?	☐ Yes	□No	⊠ N/A	Remarks:
23. Is a service contract on a CHP 78, Contract Request initiated for any commercial meeting/conference room rental which is expected to exceed \$4,999.99 in total cost?	☐ Yes	□ No	⊠ N/A	Remarks:
24. Do conference room rental costs exceeding the \$500 per day limit have pre-approval from Assistant Commissioner, Staff?	Yes	□ No	⊠ N/A	Remarks:
25. Are California Department of Justice (DOJ) and Federal Bureau of Investigation (FBI) fingerprint checks and driver license checks conducted for all of the following types of agreements: (1) Avionics Maintenance and Repair (2) Helicopter Maintenance and Repair (3) Instructor Services (on-site) (4) Janitorial Services (5) Consulting Services	⊠ Yes	□No	□ N/A	Remarks: Janitorial Services
26. Is a driver license check conducted for, but not limited to, all of the following types of agreements, if the contractor and/or specifically assigned personnel are scheduled to be on-site for more than 30 days: (1) Alarm and Fire Alarm Monitoring (2) Camera Maintenance and Repair (3) Carpet Installation (4) Diesel Generator Maintenance and Repair (5) Dishwasher Maintenance and Repair (6) Elevator Maintenance and Repair (7) Fire Extinguisher Service (8) Garage Door Maintenance and Repair (9) Graphic Arts Equipment Maintenance and Repair (10) Heating, Ventilation, and Air Conditioning Service (11) Laundry/Linen Service (12) Office Machine Maintenance and Repair (13) Painting Services (interior of facility) (14) Plumbing Services (15) Scale Maintenance and Repair (16) Steam Cleaning Services (Carpet, not scales) (17) Telephone Services (cellular, satellite, and regular) (18) Television Equipment Maintenance and Repair (19)Uninterruptible Power Supply Maintenance and Repair	⊠ Yes	□ No	□ N/A	Remarks: Heating, Ventilation, and Air Conditioning Service and Impound Tow Companies

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

fo w	ore all driver license and fingerprint information brwarded to Contract Services Unit (CSU), along with the contract number for retention after commander review?	☐ Yes	□No	⊠ N/A	Remarks: Automatic
ac ca ar re	s CSU advised by the command to determine if dverse information discovered is grounds for anceling the contract (i.e., adverse driver license nd/or criminal history information is received egarding the contractor or the contractor's ersonnel)?	⊠ Yes	□ No	□ N/A	Remarks:
m	re all invoices, records, and relevant documentation naintained for three years after the final payment of the contract?	⊠ Yes	□No	□ N/A	Remarks:
	s a log sheet maintained for a diary of activities elated to the contract?	☐ Yes	⊠ No	□ N/A	Remarks:
	a computer file prepared for all contracts dministered?	⊠ Yes	□ No	□ N/A	Remarks:
32. Is	a spreadsheet prepared listing all expenditures?	☐ Yes	⊠ No	□ N/A	Remarks:
	the notification to the contractor documented for start date for services to begin?	☐ Yes	⊠ No	□ N/A	Remarks:
ha	the contractor contacted to determine if all invoices ave been received in order to oversee the ompletion of the contract?	☐ Yes	⊠ No	□ N/A	Remarks:
cc fo:	o consultant services contracts of \$1,000 or more ontain detailed performance criteria and a schedule or performance? (SCM Vol. I, Ch. 3, Section 3.02.1)	☐ Yes	□ No	⊠ N/A	Remarks:
E\ (S	oes the contract file contain the STD. 4 Contractor valuation form for consultant contracts? SCM Vol. I, Ch. 3, Section 3.02.5)	☐ Yes	□No	⊠ N/A	Remarks:
	oes Contract work only begin after approval of the nal contract? (SCM Vol. 1, Ch. 4, Section 4.09)	⊠ Yes	□ No	□ N/A	Remarks:
19 pe	re the requirements for Government Code Section 9130 (a) or (b) documented and justified for ersonal service contracts? (GC 19130 & SCM Vol. I, h. 7, Section 7.05)	⊠ Yes	□No	□ N/A	Remarks:
ap	re any contract payments made prior to the final oproval and execution of the contract? (SCM Vol. I, h. 4, Section 4.09)	Yes	⊠ No	□ N/A	Remarks:

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COMMAND INSPECTION PROGRAM
INSPECTION CHECKLIST

Chapter 3, Command Procurements X-Number Program

STATE OF CALIFORNIA

Command: Ukiah Area	Division: Northern	Number: 150		
Evaluated by: Sergeant Chris Pa	Date: 11/01/08			
Assisted by: OSSI Rachel Sch	Date: 11/01/08			

TYPE OF	INSPECTION	Lead inspe	ctor's Signatu	re:		
Divis	sion Level	I Mustacher of Receden				
Exec	cutive Office Level	on Sungmit furean				
Foli	low-up Required: ☐ Follow-up Inspection Yes ☒ No	Commande	er's Signature:		Date: 11/01/08	
For app	olicable policy, refer to: HPM 11.1, Chapter 23					
	Are multiple X Numbers awarded to the same vendor to circumvent the \$4,999 contract limit?	☐ Yes	⊠ No	□ N/A	Remarks:	
	Does all X Number file documentation contain the STD. 204 Payee Data Record?	⊠ Yes	□ No	□ N/A	Remarks:	
	Do X Numbers requiring a contract (i.e., janitorial or landscaping) have prior approval from the Business Services Section commander?	⊠ Yes	□ No	□ N/A	Remarks:	
	Are X Number requests made prior to the date the services are performed?	⊠ Yes	□No	□ N/A	Remarks:	
5.	Are X Numbers issued for a one-time use?	⊠ Yes	□No	□ N/A	Remarks:	
	Are prohibited services performed using an X Number?	Yes	⊠ No	□ N/A	Remarks:	
	Are X Numbers used for the procurement of a service and not the purchase of a commodity?	⊠ Yes	☐ No	□ N/A	Remarks:	
	Are X Numbers issued for telecommunications related services pre-approved by Telecommunications Section?	⊠ Yes	□No	□ N/A	Remarks:	
	Do X Numbers used for facilities related services (such as roof repair, electrical) costing over \$1,000 have prior approval from Facilities Section?	⊠ Yes	□No	□ N/A	Remarks:	
	Do X Numbers issued for lapsed contractual agreements have prior approval by the appropriate Assistant Commissioner?	⊠ Yes	□No	□ N/A	Remarks:	

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STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements X-Number Program

	Do all X Numbers awarded to a non-small business vendor contain three price quotations?	⊠ Yes	□No	□ N/A	Remarks:
	Do all X Numbers awarded to a small business vendor contain the small business certification from the Department of General Services (DGS)?	⊠ Yes	□No	□ N/A .	Remarks:
	Does the file documentation contain the STD. 21 Drug Free workplace certification for X Number vendors?	⊠ Yes	□ No	□ N/A	Remarks:
	Do emergency service X Numbers document and justify the emergency?	⊠ Yes	□No	□ N/A	Remarks:
1	Is the itemized invoice for each X Number service maintained in the command's files?	⊠ Yes	☐ No	□ N/A	Remarks:

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Cal-Card Program

Command: Ukiah Area	Division: Northern	Number: 150
Evaluated by: Sergeant Chris Paredes, #12165		Date: 11/01/08
Assisted by: OSSI Rachel Schroeder, #A12894		Date: 11/01/08

TYPE OF INSPECTION		Lead Inspe	ctor's Signatu	re;		
☐ Division Level ☐ Command Level		Oh	ntesla	Дa	reder	
Executive Office Level Voluntary Self-Inspection			/	~		
Fc	llow-up Required: ☐ Follow-up Inspection ☐ Yes ☐ No	Commande	r's Signature:			Date: 1/01/08
For ap	oplicable policy, refer to: HPM 11.2, Chapter 3	34				
	Are all employees associated with the use of the Cal- Card program completing the CHP 78S, Conflict of Interest Statement, Employee, form?	⊠ Yes	□No	□ N/A	Remarks:	
2.	Are STD. 21 Drug Free Workplace certifications maintained within the Cal Card command file for each vendor utilized?	⊠ Yes	□ No	□ N/A	Remarks:	
Are STD. 204 Payee Data Record forms maintained in the Cal Card command file for each vendor utilized?		⊠ Yes	□No	□ N/A	Remarks:	
Are California Integrated Waste Management Board Form 74 documents maintained for each vendor utilized?		⊠ Yes	□No	□ N/A	Remarks:	
5.	If the vendor is a small business or DVBE is utilized, is the certification letter from the Department of General Services maintained in the file?	⊠ Yes	□No	□ N/A	Remarks:	
6.	When fair and reasonable is utilized, is the fair and reasonable method documented and properly justified?	⊠ Yes	□ No	□ N/A	Remarks:	
7.	Are purchases split into multiple transactions in order to circumvent transaction purchase limits?	☐ Yes	⊠ No	□ N/A	Remarks:	
8.	Does the CHP 317 Cal Card Log fully describe the purchase?	⊠ Yes	□No	□ N/A	Remarks:	
9.	Are bank statements reconciled with the CHP 317 Cal Card Log and the receipts/invoices?	⊠ Yes	☐ No	□ N/A	Remarks:	

COMMAND INSPECTION PROGRAM

INSPECTION CHECKLIST

Chapter 3, Command Procurements Cal-Card Program

10. Is the CHP 317 Cal Card Log properly authorized and maintained?	⊠ Yes	□No	□ N/A	Remarks:
Are credit invoices/receipts for returned items maintained with the bank statement?	⊠ Yes	□ No	□ N/A	Remarks:
12. Do non-itemized purchase receipts/invoices document the purchase by listing the commodity, quantity, and unit price of the item(s) purchased on the bank statement.	⊠ Yes	□No	□ N/A	Remarks:
13. Are Cal Cards maintained in a secure area?	⊠ Yes	□No	□ N/A	Remarks:
14. Are Cal Card purchases pre-approved by the commander?	⊠ Yes	☐ No	□ N/A	Remarks:
15. Have all cardholders received training on the Department's procurement processes?	⊠ Yes	□No	□ N/A	Remarks:
16. Are item(s) purchased with the Cal Card prohibited by departmental policy?	☐ Yes	⊠ No	□ N/A	Remarks:

COMMAND INSPECTION PROGRAM

EXCEP1	TIONS	DOCL	IMENT
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Command: Ukiah Area	Division: Northern	Chapter:
Inspected by: Sergeant Chris Paredes, #12165		Date: 11/01/08

INSTRUCTIONS: This document shall be typed. Check appropriate boxes as necessary, or fill in the blanks as indicated. Enter the chapter number of the inspection in the Chapter Inspection number. Under "Forward to:" enter the next level of command where the document shall be routed to and its due date. This document shall be utilized to document innovative practices, suggestions for statewide improvement, identified deficiencies, corrective action plans, and may be used to appeal findings. A CHP 51 Memorandum may be used if additional space is required. TYPE OF INSPECTION Corrective Action Plan Included ☐ Division Level ☐ Command Level Appeal Included Executive Office Level Attachments Included Forward to: Commander's Signature: Date: Follow-up Required: Northern Division 11/01/08 ☐ Yes ⊠ No Due Date: 11/01/08 Chapter Inspection: Inspector's Comments Regarding Innovative Practices: Ukiah Area's Command Procurements and policies were very well organized. The staff had a working knowledge and understanding of the procurement process, as well as those policies related to the process. Command Suggestions for Statewide Improvement: None

As stated above, the Ukiah Area's Command Procurements and policies were very well organized. No discrepancies were found.



Inspector's Findings:

COMMAND INSPECTION PROGRAM EXCEPTIONS DOCUMENT

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Command: Ukiah Area	Division: Northern	Chapter:
Inspected by: Sergeant Chris Paredes, #12165		Date: 11/01/08

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Commander's Response:
Commander acknowledges and does not dispute the auditor's findings. Commander will ensure adherence to the policies and procedures outlined in HPM 22.1, Chapter 3, Command Procurements, as well as legal statues are followed.
Inspector's Comments:
None
Required Action
Corrective Action Plan/Timeline
No corrective action required.
Appeal Process: (Appeals shall be filed within five (5) business days of the completed chapter inspection).
Commander's Basis for Appeal:
Not applicable
Appeal Review/Decision: (This shall be the only level of appeal).
Not applicable
Lead Inspendor's Signature: Date:
Responding Commander's Signature (for appeal): Date:
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COMMAND INSPECTION PROGRAMEXCEPTIONS DOCUMENT

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Command: Ukiah Area	Division: Northern	Chapter:
Inspected by: Sqt. Chris Paredes, #12165		Date: 11/01/08

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Appeal Process: (Appeals shall be filed within five (5) business days of the	completed chapter inspection).
Cammandar's Pagis for Annual:	
Commander's Basis for Appeal:	
Not Applicable	
140t/Applicable	
Appeal Review/Decision: (This shall be the only level of appeal).	
Not Applicable	
	· *
The state of the s	Date: / 1
Lead Inspector's Signature:	11/01/08
Responding Commander's Signature (for appeal):	Date:

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Contracts

Command: Alturas	Northern	Number: 170-04-08	
Evaluated by: Sergeant Mark Moriarity #11171		Date: 10/17/2008	
Assisted by:		Date:	

TYPE OF INSPECTION	Lead Inspector's Signature:		
☐ Division Level ☐ Command Level	-10 W/ 0		
☐ Executive Office Level ☐ Voluntary Self-Inspection			
Follow-up Required:	Commander Signature: Date: 10/17/2008		
For applicable policy, refer to: HPM 11.1, Chapter 22			
Is a CHP 78 Contract Request used to initiate all service contracts which are repetitive, regardless of the estimated dollar value?	Yes No N/A Remarks: All contracts requiring a CHP 78 are handled through Headquarters.		
Is a CHP 78 Contract Request used for one-time services exceeding \$4,999.99?	☐ Yes ☐ No ☑ N/A Remarks:		
Is the Office of Primary Interest (OPI) tracking numbering beginning with the requesting command three-digit location code used, followed by "CP" for contract payable listed on the CHP 78?	☐ Yes ☐ No ☑ N/A Remarks:		
Is the performance of contract services monitored and documented?	☐ Yes ☐ No ☐ N/A Remarks:		
5. Are all copies of correspondence with the vendor maintained?	☐ Yes ☐ No ☐ N/A Remarks:		
6. Are letters for contracts documented and maintained which outline any problems related to substandard o non-performance of the vendor?	☐ Yes ☐ No ☑ N/A Remarks: No documents were created in the last 12 months.		
7. Is the final product to be delivered described specifically and in as much detail as possible in the CHP 78?	☐ Yes ☐ No ☑ N/A Remarks:		
8. Are all required levels of approval/signature obtained including the required documentation and approvals for expedite and emergency contracts per HPM 11.1 Chapter 22, before forwarding the CHP 78 or CHP 78A?	☐ Yes ☐ No ☐ N/A ☐ Remarks:		

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STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

9.	Are requests for contract services less than six months from the anticipated start date of the contract pre-approved by Assistant Commissioner, Staff, for expedited processing?	☐ Yes	□ No	⊠ N/A	Remarks:
10	Is all work completed and accepted by the Department before expiration of contract agreement?	⊠ Yes	□No	□ N/A	Remarks:
11	Are contract services performed according to the quality, quantity, objectives, timeframes, and in the manner specified in the contract (e.g., review progress reports and interim products)?	⊠ Yes	□ No	□ N/A	Remarks:
12	Are invoices for payment reviewed and approved to substantiate expenditures for work performed and to prevent penalties being assessed?	⊠ Yes	□No	□ N/A	Remarks:
13	Are contract expenditures monitored to ensure there are sufficient funds to pay for all services rendered as required by contract?	☐ Yes	□No	⊠ N/A	Remarks: Alturas Areas does not provide payment.
14	Does the requestor verify the contractor has fulfilled all requirements of the contract before approving the final invoice?	⊠ Yes	□No	□ N/A	Remarks:
15	Is the final invoice identified and approved, as appropriate and forwarded to Fiscal Management Section for payment?	⊠ Yes	☐ No	□ N/A	Remarks:
16	Are all applicable form sections of the CHP 78 completed?	☐ Yes	□ No	⊠ N/A	Remarks: No CHP 78s were Area generated.
17	Do emergency contracts document and justify a sudden, unexpected occurrence that poses a clear and imminent danger, requiring immediate action to mitigate the loss or impairment of life, health, property, or essential public services?	☐ Yes	□No	⊠ N/A	Remarks:
18	Are all employees associated with the management of a contract completing the CHP 78S, Conflict of Interest Statement, Employee, form?	☐ Yes	□No	⊠ N/A	Remarks: Alturas Area does not initiate contracts.
19	Are problems concerning the contractor's performance fully documented in writing and made a part of the contract manager's contract file?	☐ Yes	□No	⊠ N/A	Remarks: No problems were reported during the previous 12 months.
20	Are contract amendment request dollar amounts increased more than 30%?	☐Yes	□No	⊠ N/A	Remarks: Not an Area function.

COMMAND INSPECTION PROGRAM

INSPECTION CHECKLIST

21. Is the length of the contract amendment request more than one year?	☐ Yes	□No	⊠ N/A	Remarks: Length of contract not negotiated by Area.
22. Are amendments requested before the expiration of the original contract?	☐ Yes	□ No	⊠ N/A	Remarks:
23. Is a service contract on a CHP 78, Contract Request initiated for any commercial meeting/conference room rental which is expected to exceed \$4,999.99 in total cost?	☐ Yes	□ No	⊠ N/A	Remarks: Alturas Area does not contract for room rental.
24. Do conference room rental costs exceeding the \$500 per day limit have pre-approval from Assistant Commissioner, Staff?	☐ Yes	□No	⊠ N/A	Remarks:
25. Are California Department of Justice (DOJ) and Federal Bureau of Investigation (FBI) fingerprint checks and driver license checks conducted for all of the following types of agreements:	⊠ Yes	□ No	□ N/A	Remarks:
 (1) Avionics Maintenance and Repair (2) Helicopter Maintenance and Repair (3) Instructor Services (on-site) (4) Janitorial Services (5) Consulting Services 				
26. Is a <u>driver license check</u> conducted for, but not limited to, all of the following types of agreements, if the contractor and/or specifically assigned personnel are scheduled to be on-site for more than 30 days:	☐ Yes	□ No	⊠ N/A	Remarks: No contractors were on-site for more than 30 days.
 (1) Alarm and Fire Alarm Monitoring (2) Camera Maintenance and Repair (3) Carpet Installation (4) Diesel Generator Maintenance and Repair (5) Dishwasher Maintenance and Repair (6) Elevator Maintenance and Repair (7) Fire Extinguisher Service (8) Garage Door Maintenance and Repair (9) Graphic Arts Equipment Maintenance and Repair (10) Heating, Ventilation, and Air Conditioning Service (11) Laundry/Linen Service (12) Office Machine Maintenance and Repair (13) Painting Services (interior of facility) (14) Plumbing Services (15) Scale Maintenance and Repair (16) Steam Cleaning Services (Carpet, not scales) (17) Telephone Services (cellular, satellite, and regular) (18) Television Equipment Maintenance and Repair (19) Uninterruptible Power Supply Maintenance and Repair 				

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

27.	Are all driver license and fingerprint information forwarded to Contract Services Unit (CSU), along with the contract number for retention after Commander review?	⊠ Yes	□No	□ N/A	Remarks:
28.	Is CSU advised by the command to determine if adverse information discovered is grounds for canceling the contract (i.e., adverse driver license and/or criminal history information is received regarding the contractor or the contractor's personnel)?	⊠ Yes	□No	□ N/A	Remarks:
29.	Are all invoices, records, and relevant documentation maintained for three years after the final payment of the contract?	⊠ Yes	□No	□ N/A	Remarks:
30.	Is a log sheet maintained for a diary of activities related to the contract?	⊠ Yes	☐ No	□ N/A	Remarks:
31.	Is a computer file prepared for all contracts administered?	☐ Yes	□No	⊠ N/A	Remarks: CSU suspenses contract deadlines to renew expiring contracts.
32.	Is a spreadsheet prepared listing all expenditures?	☐ Yes	□ No	⊠ N/A	Remarks:
33.	Is the notification to the contractor documented for the start date for services to begin?	☐ Yes	☐ No	⊠ N/A	Remarks:
34.	Is the contractor contacted to determine if all invoices have been received in order to oversee the completion of the contract?	☐ Yes	☐ No	⊠ N/A	Remarks:
35.	Do consultant services contracts of \$1,000 or more contain detailed performance criteria and a schedule for performance? (SCM Vol. I, Ch. 3, Section 3.02.1)	☐ Yes	□No	⊠ N/A	Remarks:
	Does the contract file contain the STD. 4 Contractor Evaluation form for consultant contracts? (SCM Vol. I, Ch. 3, Section 3.02.5)	☐ Yes	□No	⊠ N/A	Remarks:
37.	Does Contract work only begin after approval of the final contract? (SCM Vol. 1, Ch. 4, Section 4.09)	⊠ Yes	□ No	□ N/A	Remarks:
	Are the requirements for Government Code Section 19130 (a) or (b) documented and justified for personal service contracts? (GC 19130 & SCM Vol. I, Ch. 7, Section 7.05)	☐ Yes	□ No	⊠ N/A	Remarks:
39.	Are any contract payments made prior to the final approval and execution of the contract? (SCM Vol. I, Ch. 4. Section 4.09)	☐ Yes	⊠ No	□ N/A	Remarks:

COMMAND INSPECTION PROGRAM

EXCEPTIONS DOCUMENT

Command:	Division:	Chapter:	
Alturas	Northern	Three	
Inspected by: Sergeant Ma	ark Moriarity #11171	Date: 11/17/2008	

INSTRUCTIONS: This document shall be typed. Check appropriate boxes as necessary, or fill in the blanks as indicated. Enter the chapter number of the inspection in the Chapter Inspection number. Under "Forward to:" enter the next level of command where the document shall be routed to and its due date. This document shall be utilized to document innovative practices, suggestions for statewide improvement, identified deficiencies, corrective action plans, and may be used to appeal findings. A CHP 51 Memorandum may be used if additional space is required.

TYPE OF INSPECTION Division Level		☐ Corrective Action Plan Included ☐ Appeal Included ☐ Attachments Included							
							Follow-up Required:	Forward to: Northern Division- Chief Hahn	Commander's Signature: Date:
							Yes No Due Date: Nov 1, 2008		2 Marin

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Command Suggestions for Statewide Improveme	Command	Suggestions	for Statewide	Improvemer
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Inspector's Findings:

Purchases-

#2- The Acting Area Commander/Approver had not received procurement training.

#9- All CHP 43s are not competitively bid due to a lack of vendors in the rural location. Competitive bids are obtained where sufficient vendors are available.

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#10- CHP 315s are not in use by Area personnel involved in purchases.

#13- No corrective action plan is possible due to limited vendors.

Contracts-

#1- All CHP 78s are handled through CHP Headquarters.

#18- Area employees are not associated with the management of contracts.

#21- Alturas Area does not determine the length of contracts.

#23- Alturas Area does not contract for room rental.

CHP 680/ (Rev. 09-08) OPI 010

COMMAND INSPECTION PROGRAM

EXCEPTIONS DOCUMENT

Page 2

.,	Command:	Division;	Chapter:
	Alturas	Northern	Three
	Inspected by: Sergeant Ma	ark Moriarity #11171	Date: 11/17/2008

Commander's Response:

Purchases-

#2- The Commander/Approver received procurement training on 11/13/2008.

#11- Alturas Area has implemented use of the CHP 315 for purchases less than \$5,000.00.

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Inspector's Comments:

Required Action

Corrective Action Plan/Timeline

No further corrective action required.

CHP 580A (Rov. 09-08) OPI 010

COMMAND INSPECTION PROGRAM

EXCEPTIONS DOCUMENT

Commander's Basis for Appeal:

Page 3

Command: Alturas	Division: Northern	Chapter: Three
Inspected by:		Date:
Sergeant Mark Moriarity #11171		11/17/2008

Appeal Review/Decision: (This shall be the only level of appeal).	17
Lead Inspector's Signature:	Date: 11/17/2008
Responding Commander's-Signature (for appeal):	Date:

Appeal Process: (Appeals shall be filed within five (5) business days of the completed chapter inspection).

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1 of 3

STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Purchases

Command: Alturas	Division: Northern	Number: 170-04-08
Evaluated by: Sergeant Mark	Date: 10/17/2008	
Assisted by:		Date:

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected. TYPE OF INSPECTION Lead Inspector's Signature: Command Level ☐ Division Level □ Voluntary Self-Inspection ☐ Executive Office Level Date: Command Follow-up Required: 10/17/08 Follow-up Inspection ⊠ No Yes For applicable policy, refer to: HPM 11.2, Chapter 7 1. Are participants in the procurement process at the Remarks: □ N/A □ No command level familiar with the related policies and procedures for purchasing? Have Approvers/reviewers of purchases received Remarks: Recent change of □ N/A Yes ⊠ No procurement training? command, Current reviewer not trained. 3. Are prohibited items procured on CHP 43, Purchases Remarks: □ N/A ☐ Yes ⊠ No Requisitions? Supplies for personally – owned equipment Commodities for personal use Confirming order Purchases via the internet 4. Are separate CHP 43s, Purchase Requisitions, Remarks: □ N/A prepared for commodity items obtainable from X Yes □No different suppliers or from different statewide commodity contracts? 5. Is all required information entered on the CHP 43, Remarks: □ N/A ⊠ Yes ☐ No Purchase Requisition? 6. Are the CHP 43, Purchase Requisitions, numbered Remarks: consecutively, starting anew at the beginning of each □ No □ N/A fiscal year (July 1)? Are expedited requests for the purchase of goods Remarks: No expedited requests ⊠ N/A □No forwarded to the Assistant Commissioner, Staff, for ☐ Yes were forwarded. approval?

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Purchases

8.	Do specialized items purchased contain the appropriate Division, and/or OPI approvals?	⊠ Yes	□No	□ N/A	Remarks:
9.	Are the CHP 43, Purchase Requisitions, competitively bid?	☐ Yes	□No	⊠ N/A	Remarks: No 43s were located where bidding was required.
10.	Does the CHP 315, Price Comparison Worksheet, document at least two price quotations?	☐ Yes	□No	⊠ N/A	Remarks: None located
11.	Are Limited Competitive Bidding purchase requests that limit or restrict the purchase to one specific brand or model justified and in compliance with SAM 3555?	☐ Yes	□ No	⊠ N/A	Remarks:
	Are Limited Competitive Bidding purchase requests for items that interface with existing departmental equipment in compliance with SAM 3555.3?	☐ Yes	□ No	⊠ N/A	Remarks:
13.	Do Non-Competitive Bid (NCB) purchase requests contain the NCB justification and NCB Corrective Action Plan documents?	☐ Yes	□No	⊠ N/A	Remarks: None located
14.	Are items checked immediately for content and damage when delivered?	⊠ Yes	□No	□ N/A	Remarks:
15.	Is the "received copy" of the purchase order approved, dated, and forwarded to the Fiscal Management Section (FMS), Account Payable Unit, within three business days of receipt, if all items are accepted?	⊠ Yes	□No	□ N/A	Remarks:
16.	Are freight and/or packing slips attached to the received copy of the purchase order and sent to FMS?	⊠ Yes	☐ No	□ N/A	Remarks:
17.	Is FMS provided a photocopy of the purchase order and any approved freight or packing slips as acknowledgement that a portion of the order has been received?	⊠ Yes	□No	□ N/A	Remarks:
	Is the original "received copy" retained by the command for completion and forwarding to the FMS when the complete shipment is received?	⊠ Yes	□No	□ N/A	Remarks:
19.	Are <u>Damaged items</u> delivered by common carrier acknowledged on the freight bill by the carrier's driver before being accepted?	☐ Yes	□No	⊠ N/A	Remarks: No damaged items delivered in the last 12 months.

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Purchases

20. Is Purchasing Services Unit (PSU) notified immediately by telephone, followed in writing either by a memorandum or e-mail, requesting cancellation of the requisition or deletion of an item, if it is determined that a commodity requested on a CHP 43 is no longer needed and a purchase order has not yet been prepared?	⊠ Yes	□ No	□ N/A	Remarks:
21. Are open purchase orders periodically reviewed and investigated to ensure the orders are not opened for an unreasonable length of time. (SAM 8422.0)	⊠ Yes	□ No	□ N/A	Remarks: Items are suspensed for follow-up until received.
22. Are copies of the purchase requisitions and purchase orders maintained for three years after payment? (SCM Vol. II, Ch. 11, Topic 4)	⊠ Yes	□No	□ N/A	Remarks:
23. Are decisions documented to create a paper trail documenting the basis of the decisions made for the purchase? (SCM Vol II Ch. 2, Topic 11)	⊠ Yes	□No	□ N/A	Remarks:
24. Are purchase orders split to evade competitive bidding requirements or to circumvent the Department's delegated purchase authority limits? (Bublic Contracts Code Section 10329)	☐ Yes	⊠ No	□ N/A	Remarks:

COMMAND INSPECTION PROGRAM

EXCEPTIONS DOCUMENT

Command:	Division:	Chapter:
Alturas	Northern	Three
Inspected by: Sergeant Ma	ark Moriarity #11171	Date: 11/17/2008

INSTRUCTIONS: This document shall be typed. Check appropriate boxes as necessary, or fill in the blanks as indicated. Enter the chapter number of the inspection in the Chapter Inspection number. Under "Forward to:" enter the next level of command where the document shall be routed to and its due date. This document shall be utilized to document innovative practices, suggestions for statewide improvement, identified deficiencies, corrective action plans, and may be used to appeal findings. A CHP 51 Memorandum may be used if additional space is required.

TYPE OF INSPECTION	,	Corrective Action Plan Included			
☐ Division Level ☒ Command Level		Appeal Included			
☐ Executive Office Level		☐ Attachments Included			
Follow-up Required: Forward to: Northern Division- Chief Hahn		Commander's Signature: Date:			
	Due Date: Nov 1, 2008 .				
Chapter in spection: Inspector's Comments Re					

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Command	Suggestions	for State	wide Im	provemen	t

Inspector's Findings:

Purchases-

#2- The Acting Area Commander/Approver had not received procurement training.

#9- All CHP 43s are not competitively bid due to a lack of vendors in the rural location. Competitive bids are obtained where sufficient vendors are available.

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#10- CHP 315s are not in use by Area personnel involved in purchases.

#13- No corrective action plan is possible due to limited vendors.

Contracts-

#1- All CHP 78s are handled through CHP Headquarters.

#18- Area employees are not associated with the management of contracts.

#21- Alturas Area does not determine the length of contracts.

#23- Alturas Area does not contract for room rental.

CHP 680A (Rev. 09-08) OPI \$10

COMMAND INSPECTION PROGRAM

EXCEPTIONS DOCUMENT

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Command:	Division;	Chapter:
Alturas	Northern	Three
Inspected by: Sergeant Ma	ark Moriarity #11171	Date: 11/17/2008

Commander's Response:

Purchases-

#2- The Commander/Approver received procurement training on 11/13/2008.

#11- Alturas Area has implemented use:of the CHP 315 for purchases less than \$5,000.00.

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Inspector's Comments:

Required Action

Corrective Action Plan/Timeline

No further corrective action required.

CHP 580A (Rov. 09-08) OPI 010

COMMAND INSPECTION PROGRAM

EXCEPTIONS DOCUMENT

Page 3

Command: Alturas	Division: Northern	Chapter: Three
Inspected by:		Date:
Sergeant Ma	ark Moriarity #11171	11/17/2008

	of the completed chapter inspection).
Commander's Basis for Appeal:	
Appeal Review/Decision: (This shall be the only level of appeal).	
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Lead Inspector's Signature:	Date: 11/17/2008
	E.E. FILEGOOD
Responding Commander's Signature (for appeal):	Date:

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Cal-Card Program

Command: Alturas	Division: Northern	Number: 170-04-08
Evaluated by: Sergeant Mark I	Date: 10/17/2008	
Assisted by:		Date:

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

TYPE OF INSPECTION			Lead Inspector's Signature:			
☐ Division Level ☐ Command Level			71	X	1	
☐ Executive Office Level ☐ Voluntary Self-Inspection			, _	-"/		
Fo	llow-up Required:] Yes ⊠ No	☐ Follow-up Inspection	Commende	er's Signature		Date: 10/17/2003
For ap	plicable policy, refer t	o: HPM 11.2, Chapter 3	4	/ -		
1.		ociated with the use of the Cal- ng the CHP 78S, Conflict of ployee, form?	⊠ Yes	□No	□ N/A	Remarks:
2.	Are STD. 21 Drug Free Workplace certifications maintained within the Cal Card command file for each vendor utilized?		⊠ Yes	□No	□ N/A	Remarks:
3.	3. Are STD. 204 Payee Data Record forms maintained in the Cal Card command file for each vendor utilized?		⊠ Yes	☐ No	□ N/A	Remarks:
Are California Integrated Waste Management Board Form 74 documents maintained for each vendor utilized?		⊠ Yes	□No	□ N/A	Remarks:	
5.	5. If the vendor is a small business or DVBE is utilized, is the certification letter from the Department of General Services maintained in the file?		⊠ Yes	□No	□ N/A	Remarks:
6.	reasonable method doo justified?		⊠ Yes	□ No	□ N/A	Remarks:
7.	to circumvent transacti		☐ Yes	⊠ No	□ N/A	Remarks:
8.	Does the CHP 317 Cal purchase?	Card Log fully describe the	⊠ Yes	□No	□ N/A	Remarks:
9.	Are bank statements re Cal Card Log and the r	econciled with the CHP 317 eceipts/invoices?	⊠ Yes	□ No	□ N/A	Remarks:

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Cal-Card Program

10. Is the CHP 317 Cal Card Log properly authorized and maintained?	⊠ Yes	☐ No	□ N/A	Remarks:
Are credit invoices/receipts for returned items maintained with the bank statement?	⊠ Yes	☐ No	□ N/A	Remarks:
Do non-itemized purchase receipts/invoices document the purchase by listing the commodity, quantity, and unit price of the item(s) purchased on the bank statement.	⊠ Yes	□ No	□ N/A	Remarks:
13. Are Cal Cards maintained in a secure area?	⊠ Yes	□No	□ N/A	Remarks:
14. Are Cal Card purchases pre-approved by the commander?	⊠ Yes	□ No	□ N/A	Remarks:
15. Have all cardholders received training on the Department's procurement processes?	⊠ Yes	□No	□ N/A	Remarks:
16. Are item(s) purchased with the Cal Card prohibited by departmental policy?	Yes	⊠ No	□ N/A	Remarks:

COMMAND INSPECTION PROGRAM

EXCEPTIONS DOCUMENT

Command:	Division:	Chapter:	
Alturas	Northern	Three	
Inspected by: Sergeant Ma	ark Moriarity #11171	Date: 11/17/2008	

INSTRUCTIONS: This document shall be typed. Check appropriate boxes as necessary, or fill in the blanks as indicated. Enter the chapter number of the inspection in the Chapter Inspection number. Under "Forward to:" enter the next level of command where the document shall be routed to and its due date. This document shall be utilized to document innovative practices, suggestions for statewide improvement, identified deficiencies, corrective action plans, and may be used to appeal findings. A CHP 51 Memorandum may be used if additional space is required.

TYPE OF INSPECTION		Corrective Action Plan Included			
☐ Division Level ☒ Command Level		Appeal Included			
☐ Executive Office Level		Attachments Included			
Follow-up Required:	Porward to: Northern Division- Chief Hahn Due Date: Nov 1, 2008	Commander's Signature: Date: 11/17/05-			
Chapterinspection	midden Freezische State St	Janistica del September del Como cambridos de Sas de Astronomo de Sestimientos			
Inspector's Comments R	legarding Innovative Practi	Ces:			

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Command Suggestions for Statewide Improvement:

Inspector's Findings:

Purchases-

#2- The Acting Area Commander/Approver had not received procurement training.

#9- All CHP 43s are not competitively bid due to a lack of vendors in the rural location. Competitive bids are obtained where sufficient vendors are available.

Carrier to retaining the carrier

#10- CHP 315s are not in use by Area personnel involved in purchases.

#13- No corrective action plan is possible due to limited vendors.

Contracts-

#1- All CHP 78s are handled through CHP Headquarters.

#18- Area employees are not associated with the management of contracts.

#21- Alturas Area does not determine the length of contracts.

#23- Alturas Area does not contract for room rental.

CHP 680A (R6v. 09-08) CPI 910

COMMAND INSPECTION PROGRAM

EXCEPTIONS DOCUMENT

Alturas Inspected by:

Chapter: Command: Division: Northern Three Date: Sergeant Mark Moriarity #11171 11/17/2008

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Commander's Response:

Purchases-

#2- The Commander/Approver received procurement training on 11/13/2008.

#11- Alturas Area has implemented use of the CHP 315 for purchases less than \$5,000.00.

Inspector's Comments:

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Required Action

Corrective Action Plan/Timeline

No further corrective action required.

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CHP 580A (Rov. 03-08) OPI 010

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COMMAND INSPECTION PROGRAM EXCEPTIONS DOCUMENT

Page 3

Command: Alturas	Chapter: Three			
Inspected by:		Date:		
Sergeant Mark Moriarity #11171		11/17/2008		

Appeal Process: (Appeals shall be file of the file of	
Appeal Process: (Appeals shall be filed within five (5) business days of the	e completed chapter inspection).
Commander's Basis for Appeal:	
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Appeal Review/Decision: (This shall be the only level of appeal).	
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Lead Inspector's Signature:	Date:
Lead Inspector's Signature:	Date:

Page

1 of 2

STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements X-Number Program

Command: Alturas	Division: Northern	Number: 170-04-08		
Evaluated by: Sergeant Mark Moriarity #11171		Date: 10/17/2008		
Sergeant Mark	10/1//2006			
Assisted by:		Date:		

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

TYPE OF INSPECTION	Lead Inspector's Signature:			
☐ Division Level ☐ Command Level	40M			
☐ Executive Office Level ☐ Voluntary Self-Inspect				
Follow-up Required: ☐ Follow-up Inspectio ☐ Yes ☐ No	Commander's Signature: Date: 10/17/000			
For applicable policy, refer to: HPM 11.1, Chapter 23				
 Are multiple X Numbers awarded to the same veno to circumvent the \$4,999 contract limit? 	or ☐ Yes ☑ No ☐ N/A Remarks:			
Does all X Number file documentation contain the STD. 204 Payee Data Record?	Yes ☐ No ☐ N/A Remarks:			
3. Do X Numbers requiring a contract (i.e., janitorial of landscaping) have prior approval from the Busines Services Section commander?				
4. Are X Number requests made prior to the date the services are performed?	☐ Yes ☐ No ☐ N/A Remarks:			
5. Are X Numbers issued for a one-time use?				
6. Are prohibited services performed using an X Number?	☐ Yes ☐ N/A Remarks:			
7. Are X Numbers used for the procurement of a service and not the purchase of a commodity?				
8. Are X Numbers issued for telecommunications related services pre-approved by Telecommunications Section?	☐ Yes ☐ No ☑ N/A Remarks:			
 Do X Numbers used for facilities related services (such as roof repair, electrical) costing over \$1,000 have prior approval from Facilities Section? 				
10. Do X Numbers issued for lapsed contractual agreements have prior approval by the appropriate Assistant Commissioner?				

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements X-Number Program

11. Do all X Numbers awarded to a non-small business vendor contain three price quotations?	Yes	⊠ No	□ N/A	Remarks: No due to a lack of vendors locally.
12. Do all X Numbers awarded to a small business vendor contain the small business certification from the Department of General Services (DGS)?	⊠ Yes	□ No	□ N/A	Remarks:
13. Does the file documentation contain the STD. 21 Drug Free workplace certification for X Number vendors?	⊠ Yes	□ No	□ N/A	Remarks:
14. Do emergency service X Numbers document and justify the emergency?	⊠ Yes	□No	□ N/A	Remarks:
15. Is the itemized invoice for each X Number service maintained in the command's files?	⊠ Yes	□No	□ N/A	Remarks:

COMMAND INSPECTION PROGRAM EXCEPTIONS DOCUMENT

Command:	Division:	Chapter:		
Alturas	Northern	Three		
Inspected by: Sergeant Ma	ark Moriarity #11171	Date: 11/17/2008		

INSTRUCTIONS: This document shall be typed. Check appropriate boxes as necessary, or fill in the blanks as indicated. Enter the chapter number of the inspection in the Chapter Inspection number. Under "Forward to:" enter the next level of command where the document shall be routed to and its due date. This document shall be utilized to document innovative practices, suggestions for statewide improvement, identified deficiencies, corrective action plans, and may be used to appeal findings. A CHP 51 Memorandum may be used if additional space is required.

TYPE OF INSPECTION		Corrective Action Plan Included			
☐ Division Level ☐ Command Level		Appeal Included			
☐ Executive Office Level		Attachments Included			
Follow-up Required:	Forward to: Northern Division-	Commander's Signature: Date:			
☐ Yes	Chief Hahn	11/17/05.			
and the second second section (1)	Due Date: Nov 1, 2008	SPRINGER ARABITATION CONTINUES CALLAR FOR THE TAX TO THE TAX COLLARIANCE TO THE PROPERTY.			
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Inspector's Comments Re	egarding Innovative Practic	ces:			

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Command Suggestions for Statewide Improvement:

Inspector's Findings:

Purchases-

#2- The Acting Area Commander/Approver had not received procurement training.

#9- All CHP 43s are not competitively bid due to a lack of vendors in the rural location. Competitive bids are obtained where sufficient vendors are available.

Contract to the Contract Contract

#10- CHP 315s are not in use by Area personnel involved in purchases.

#13- No corrective action plan is possible due to limited vendors.

Contracts-

#1- All CHP 78s are handled through CHP Headquarters.

#18- Area employees are not associated with the management of contracts.

#21- Alturas Area does not determine the length of contracts.

#23- Alturas Area does not contract for room rental.

CHP 680// (Rev. 09-08) OPI 610

COMMAND INSPECTION PROGRAM

EXCEPTIONS DOCUMENT

Page 2

Command: Division: Northern		Chapter: Three				
Inspected by: Sergeant M	ark Moriarity #11171	Date: 11/17/2008				

Commander's Response:

Purchases-

#2- The Commander/Approver received procurement training on 11/13/2008.

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#11- Alturas Area has implemented use of the CHP 315 for purchases less than \$5,000.00.

Inspector's Comments:

Required Action

Corrective Action Plan/Timeline

No further corrective action required.

CHP 680A (Rov. 09-00) OPI 010

COMMAND INSPECTION PROGRAMEXCEPTIONS DOCUMENT

Page 3

Command: Alturas		
Inspected by:		Date:
Sergeant Mark Moriarity #11171		11/17/2008

Appeal Process: (Appeals shall be filed within five (5) business days of the	completed chapter inspection).
Commander's Basis for Appeal:	
Appeal Review/Decision: (This shall be the only level of appeal).	
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Lead Inspector's Signature:	Date
Leav mayering significant	Date: 11/17/2008
Responding Commander's Signature (for appeal):	Date:

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Purchases

Command: Clear Lake	Division: Northern	Number			
Evaluated by: Sergeant	Date: 10/07/08				
Assisted by:		Date:			

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

TYPE OF INSPECTION Lead Inspector's Signature:							
☐ Division Level ☐ Command Level					1/	Star	K
☐ Executive Office Level ☐ Voluntary Self-Inspection							
Follow-up Requ			Commander's Signature: Date:				Date:
Yes 🛚	No	Follow-up Inspection	W 17	1/1			10/30/04
For applicable policy	, refer to:	HPM 11.2, Chapter 7					
	l familiar w	curement process at the ith the related policies and g?	⊠ Yes	□No	□ N/A		aundra Lumbert, OSS1; Holcomb; Jim Coonley,
Have Approve procurement to		s of purchases received	⊠ Yes	□No	□ N/A	Remarks: Ju	ily 2008
3. Are prohibited items procured on CHP 43, Purchases Requisitions?		☐ Yes	⊠ No	□ N/A	Remarks:		
 Supplies for personally – owned equipment Commodities for personal use Confirming order Purchases via the internet 							
prepared for c different supp commodity co	ommodity i iers or from ntracts?	urchase Requisitions, tems obtainable from i different statewide	⊠ Yes	□ No	□ N/A		eparate requisitions are parate supplies
5. Is all required information entered on the CHP 43, Purchase Requisition?		⊠ Yes	□No	□ N/A	Remarks:		
consecutively fiscal year (Ju	starting ar ly 1)?	se Requisitions, numbered new at the beginning of each	⊠ Yes	☐ No	□ N/A	Remarks:	
		or the purchase of goods nt Commissioner, Staff, for	⊠ Yes	□No	□ N/A	Remarks:	

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Purchases

8.	Do specialized items purchased contain the appropriate Division, and/or OPI approvals?	⊠ Yes	□No	□ N/A	Remarks:
9.	Are the CHP 43, Purchase Requisitions, competitively bid?	⊠ Yes	□No	□ N/A	Remarks: Clear Lake is a rural area, When a single bidder was used, a justification was submitted,
10.	Does the CHP 315, Price Comparison Worksheet, document at least two price quotations?	⊠ Yes	□No	□ N/A	Remarks;
11.	Are Limited Competitive Bidding purchase requests that limit or restrict the purchase to one specific brand or model justified and in compliance with SAM 3555?	⊠ Yes	□No	□ N/A	Remarks:
12.	Are Limited Competitive Bidding purchase requests for items that interface with existing departmental equipment in compliance with SAM 3555.3?	☐ Yes	□No	⊠ªN/A	Remarks: No instances in file,
13.	Do Non-Competitive Bid (NCB) purchase requests contain the NCB justification and NCB Corrective Action Plan documents?	⊠ Yes	□ No	□ N/A	Remarks: One instance of NCB in file — L & M Lock. NCB justification was attached.
14	Are items checked immediately for content and damage when delivered?	⊠ Yes	□ No	□ N/A	Remarks:
15	Is the "received copy" of the purchase order approved, dated, and forwarded to the Fiscal Management Section (FMS), Account Payable Unit, within three business days of receipt, if all items are accepted?	⊠ Yes	□No	□ N/A	Remarks: Completed and forwarded to FMS same day as delivery.
16	Are freight and/or packing slips attached to the received copy of the purchase order and sent to FMS?	⊠ Yes	□No	□ N/A	Remarks:
17	. Is FMS provided a photocopy of the purchase order and any approved freight or packing slips as acknowledgement that a portion of the order has been received?	⊠ Yes	□No	□ N/A	Remarks:
	Is the original "received copy" retained by the command for completion and forwarding to the FMS when the complete shipment is received?	⊠ Yes	□No	□ N/A	Remarks:
19	Are <u>Damaged items</u> delivered by common carrier acknowledged on the freight bill by the carrier's driver before being accepted?	∑ Yes	□No	□ N/A	Remarks: New sergeant's lockers were delivered damaged in 2007. Carrier did not note damage on freight bill. This was caught by Area and brought to carrier's attention.

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Purchases

20. Is Purchasing Services Unit (PSU) notified immediately by telephone, followed in writing either by a memorandum or e-mail, requesting cancellation of the requisition or deletion of an item, if it is determined that a commodity requested on a CHP 43 is no longer needed and a purchase order has not yet been prepared?	⊠ Yes	□No	□ N/A	Remarks: followed in writing by e-mail.
21. Are open purchase orders periodically reviewed and investigated to ensure the orders are not opened for an unreasonable length of time. (SAM 8422.0)	⊠ Yes	□No	□ N/A	Remarks: This is continually monitored by OSS1 Lumbert; she keeps a "pending" file at her desk.
22. Are copies of the purchase requisitions and purchase orders maintained for three years after payment? (SCM Vol. II, Ch. 11, Topic 4)	⊠ Yes	□ No	□ N/A	Remarks:
23. Are decisions documented to create a paper trail documenting the basis of the decisions made for the purchase? (SCM Vol II Ch. 2, Topic 11)	⊠ Yes	☐ No	□ N/A	Remarks: Copy of justification retained at Area (CHP 43/315)
24. Are purchase orders split to evade competitive bidding requirements or to circumvent the Department's delegated purchase authority limits? (Public Contracts Code Section 10329)	Yes	⊠ No	□ N/A	Remarks:

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STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements X-Number Program

Command: Clear Lake	Division: Northern	Number:
Evaluated by: Sergeant	D. Stark, #12053	Date: 10/07/08
Assisted by:		Date:

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up inspection" box shall be marked and only deficient items need to be re-inspected.

inspection, the 1 ollow-up inspection box brian be marked and emy					
TYPE OF INSPECTION	Lead inspect	or's Signature		1	·
☐ Division Level ☐ Command Level			1/	Sla	M
☐ Executive Office Level ☐ Voluntary Self-Inspection					
Follow-up Required: Follow-up Inspection	Commander'	s Signature:			Date:
Yes No	W. 183	. / (10/36/08
For applicable policy, refer to: HPM 11.1, Chapter 23					
Are multiple X Numbers awarded to the same vendor to circumvent the \$4,999 contract limit?	Yes	⊠ No	□ N/A	Remarks:	
Does all X Number file documentation contain the STD. 204 Payee Data Record?	⊠ Yes	□No	□ N/A	Remarks:	
3. Do X Numbers requiring a contract (i.e., janitorial or landscaping) have prior approval from the Business Services Section commander?	⊠ Yes	□No	□ N/A	Remarks:	
4. Are X Number requests made prior to the date the services are performed?	⊠ Yes	□No	□ N/A	Remarks:	
5. Are X Numbers issued for a one-time use?	⊠ Yes	☐ No	□ N/A	Remarks:	
Are prohibited services performed using an X Number?	Yes	⊠ No	□ N/A	Remarks:	
7. Are X Numbers used for the procurement of a service and not the purchase of a commodity?	⊠ Yes	□No	□ N/A	Remarks:	
Are X Numbers issued for telecommunications related services pre-approved by Telecommunications Section?	⊠ Yes	□No	□ N/A	Remarks:	
9. Do X Numbers used for facilities related services (such as roof repair, electrical) costing over \$1,000 have prior approval from Facilities Section?	⊠ Yes	□No	□ N/A	Remarks;	
Do X Numbers issued for lapsed contractual agreements have prior approval by the appropriate Assistant Commissioner?	⊠ Yes	□No	□ N/A	Remarks:	

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STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements X-Number Program

11.	Do all X Numbers awarded to a non-small business vendor contain three price quotations?	⊠ Yes	□No	□ N/A	Remarks:
12.	Do all X Numbers awarded to a small business vendor contain the small business certification from the Department of General Services (DGS)?	⊠ Yes	□No	□ N/A	Remarks:
13.	Does the file documentation contain the STD. 21 Drug Free workplace certification for X Number vendors?	⊠ Yes	□No	□ N/A	Remarks:
	Do emergency service X Numbers document and justify the emergency?	⊠ Yes	□No	□ N/A	Remarks:
15.	Is the itemized invoice for each X Number service maintained in the command's files?	⊠ Yes	□ No	□ N/A	Remarks:

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Contracts

Command: Clear Lake	Division: Northern	Number:
Evaluated by: Sergeant	D. Stark, #12053	Date: 10/14/2008
Assisted by:		Date:

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

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TYPE OF	INSPECTION	Lead Inspector's Signature:			
☐ Divi	sion Level	-	1	Sta	rhe
☐ Exe	cutive Office Level				
Fo	low-up Required: ☐ Follow-up Inspection Yes ☐ No	Commande	r's Signature:		Date:
For ap	plicable policy, refer to: HPM 11.1, Chapter 22	wito	Ĭ		10./36/07
1.	Is a CHP 78 Contract Request used to initiate all service contracts which are repetitive, regardless of the estimated dollar value?	⊠ Yes	□ No	□ N/A	Remarks: Used once for extension of tow contract.
2.	Is a CHP 78 Contract Request used for one-time services exceeding \$4,999.99?	⊠ Yes	□No	□ N/A	Remarks:
3.	Is the Office of Primary Interest (OPI) tracking numbering beginning with the requesting command three-digit location code used, followed by "CP" for contract payable listed on the CHP 78?	☐ Yes	□ No	⊠ N/A	Remarks:
4.	Is the performance of contract services monitored and documented?	⊠ Yes	□No	□ N/A	Remarks: Area's responsibility as of 7/08. Previously, this was Contract Services Unit (CSU) responsibility.
5.	Are all copies of correspondence with the vendor maintained?	⊠ Yes	□No	□ N/A	Remarks:
6.	Are letters for contracts documented and maintained which outline any problems related to substandard or non-performance of the vendor?	⊠ Yes	□No	□ N/A	Remarks:
7.	Is the final product to be delivered described specifically and in as much detail as possible in the CHP 78?	⊠ Yes	☐ No	□ N/A	Remarks:
8.	Are all required levels of approval/signature obtained, including the required documentation and approvals for expedite and emergency contracts per HPM 11.1, Chapter 22, before forwarding the CHP 78 or CHP 78A?	⊠ Yes	□No	□ N/A	Remarks:

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

9	Are requests for contract services less than six months from the anticipated start date of the contract pre-approved by Assistant Commissioner, Staff, for expedited processing?	⊠ Yes	□No	□ N/A	Remarks:
1	Is all work completed and accepted by the Department before expiration of contract agreement?	⊠ Yes	□No	□ N/A	Remarks:
1	1. Are contract services performed according to the quality, quantity, objectives, timeframes, and in the manner specified in the contract (e.g., review progress reports and interim products)?	⊠ Yes	□No	□ N/A	Remarks:
1	2. Are invoices for payment reviewed and approved to substantiate expenditures for work performed and to prevent penalties being assessed?	⊠ Yes	☐ No	□ N/A	Remarks:
	3. Are contract expenditures monitored to ensure there are <u>sufficient funds</u> to pay for all services rendered as required by contract?	⊠ Yes	□ No	□ N/A	Remarks: Area's responsibility as of 7/08. Previously, this was CSU's responsibility.
1	4. Does the requestor verify the contractor has fulfilled all requirements of the contract before approving the final invoice?	⊠ Yes	□ No	□ N/A	Remarks: Contractor's are paid on monthly basis. There were no instances of contractor's not fulfilling requirements of contracts.
	15. Is the final invoice identified and approved, as appropriate and forwarded to Fiscal Management Section for payment?	⊠ Yes	□ No	□ N/A	Remarks:
,	16. Are all applicable form sections of the CHP 78 completed?	⊠ Yes	□No	□ N/A	Remarks:
	17. Do emergency contracts document and justify a sudden, unexpected occurrence that poses a clear and imminent danger, requiring immediate action to mitigate the loss or impairment of life, health, property, or essential public services?	⊠ Yes	□No	□ N/A	Remarks:
	18. Are all employees associated with the management of a contract completing the CHP 78S, Conflict of Interest Statement, Employee, form?	⊠ Yes	□No	□ N/A	Remarks:
	19. Are problems concerning the contractor's performance fully documented in writing and made a part of the contract manager's contract file?	⊠ Yes	□No	□ N/A	Remarks:
	20. Are contract amendment request dollar amounts increased more than 30%?	□Yes	□No	⊠ N/A	Remarks:

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STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

COMMAND INSPECTION PROGRAM

INSPECTION CHECKLIST

2	1. Is the length of the contract amendment request more than one year?	☐ Yes	⊠ No	□ N/A	Remarks:
2	2. Are amendments requested before the expiration of the original contract?	☐ Yes	⊠ No	□ N/A	Remarks:
2	3. Is a service contract on a CHP 78, Contract Request initiated for any commercial meeting/conference room rental which is expected to exceed \$4,999.99 in total cost?	Yes	□ No	⊠ N/A	Remarks: There were no instances encountered by Area.
2	4. Do conference room rental costs exceeding the \$500 per day limit have pre-approval from Assistant Commissioner, Staff?	☐ Yes	□No	⊠ N/A	Remarks:
2	5. Are California Department of Justice (DOJ) and Federal Bureau of Investigation (FBI) <u>fingerprint</u> <u>checks and driver license checks</u> conducted for all of the following types of agreements:	⊠ Yes	□ No	□ N/A	Remarks: Area Janitor
	 (1) Avionics Maintenance and Repair (2) Helicopter Maintenance and Repair (3) Instructor Services (on-site) (4) Janitorial Services (5) Consulting Services 				90
2	26. Is a <u>driver license check</u> conducted for, but not limited to, all of the following types of agreements, if the contractor and/or specifically assigned personnel are scheduled to be on-site for more than 30 days:	⊠ Yes	□ No	□ N/A	Remarks: Area Janitor
	 (1) Alarm and Fire Alarm Monitoring (2) Camera Maintenance and Repair (3) Carpet Installation (4) Diesel Generator Maintenance and Repair (5) Dishwasher Maintenance and Repair (6) Elevator Maintenance and Repair (7) Fire Extinguisher Service (8) Garage Door Maintenance and Repair (9) Graphic Arts Equipment Maintenance and Repair (10) Heating, Ventilation, and Air Conditioning Service (11) Laundry/Linen Service (12) Office Machine Maintenance and Repair (13) Painting Services (interior of facility) (14) Plumbing Services (15) Scale Maintenance and Repair (16) Steam Cleaning Services (Carpet, not scales) (17) Telephone Services (cellular, satellite, and regular) (18) Television Equipment Maintenance and Repair (19)Uninterruptible Power Supply Maintenance and Repair 				

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STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

27.	Are all driver license and fingerprint information forwarded to Contract Services Unit (CSU), along with the contract number for retention after Commander review?	⊠ Yes	□No	□ N/A	Remarks:
28,	Is CSU advised by the command to determine if adverse information discovered is grounds for canceling the contract (i.e., adverse driver license and/or criminal history information is received regarding the contractor or the contractor's personnel)?	⊠ Yes	□ No	□ N/A	Remarks:
29.	Are all invoices, records, and relevant documentation maintained for three years after the final payment of the contract?	⊠ Yes	□ No	□ N/A	Remarks:
	Is a log sheet maintained for a diary of activities related to the contract?	☐ Yes	⊠ No	□ N/A	Remarks: Activities listed in contract; no log sheet to verify activities being performed (i.e. Janitor activities)
31.	Is a computer file prepared for all contracts administered?	⊠ Yes	□ No	□ N/A	Remarks: As of 7/08 when Area assumed CSU responsibilities.
32.	Is a spreadsheet prepared listing all expenditures?	⊠ Yes	☐ No	□ N/A	Remarks:
33.	Is the notification to the contractor documented for the start date for services to begin?	⊠ Yes	□No	□ N/A	Remarks;
34	Is the contractor contacted to determine if all invoices have been received in order to oversee the completion of the contract?	⊠ Yes	□No	□ N/A	Remarks:
35	Do consultant services contracts of \$1,000 or more contain detailed performance criteria and a schedule for performance? (SCM Vol. I, Ch. 3, Section 3.02.1)	☐ Yes	□ No	⊠ N/A	Remarks:
36	Does the contract file contain the STD. 4 Contractor Evaluation form for consultant contracts? (SCM Vol. I, Ch. 3, Section 3.02.5)	☐ Yes	□No	⊠ N/A	Remarks:
37	Does Contract work only begin after approval of the final contract? (SCM Vol. 1, Ch. 4, Section 4.09)	⊠ Yes	□No	□ N/A	Remarks:
38	Are the requirements for Government Code Section 19130 (a) or (b) documented and justified for personal service contracts? (GC 19130 & SCM Vol. I, Ch. 7, Section 7.05)	⊠ Yes	□No	□ N/A	Remarks
39	Are any contract payments made prior to the final approval and execution of the contract? (SCM Vol. I, Ch. 4, Section 4.09)	☐ Yes	⊠ No	□ N/A	Remarks:

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Cal-Card Program

Command: Clear Lake	Division: Northern	Number:
Evaluated by: Sergeant	Date: 10/14/08	
Assisted by:		Date:

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

TYPE OF INSPECTION		Lead Inspec	tor's Signature	e:	11
Divis	sion Level			7)	tark
☐ Exe	cutive Office Level				
Fol	llow-up Required: ☐ Follow-up Inspection	Commander	's Signature:		Date:
	Yes No	W/14.	12/11		10/30/08
For applicable policy, refer to: HPM 11.2, Chapter 3		`			
1.	Are all employees associated with the use of the Cal- Card program completing the CHP 78S, Conflict of Interest Statement, Employee, form?	⊠ Yes	□No	□ N/A	Remarks: Current for OSS1 Lumbert and J. Coonley, Auto Tech, 10/6/08
2.	Are STD. 21 Drug Free Workplace certifications maintained within the Cal Card command file for each vendor utilized?	⊠ Yes	□No	□ N/A	Remarks:
3.	Are STD. 204 Payee Data Record forms maintained in the Cal Card command file for each vendor utilized?	⊠ Yes	□ No	□ N/A	Remarks:
4.	Are California Integrated Waste Management Board Form 74 documents maintained for each vendor utilized?	☐Yes	⊠ No	□ N/A	Remarks:
5.	If the vendor is a small business or DVBE is utilized, is the certification letter from the Department of General Services maintained in the file?	⊠ Yes	□No	□ N/A	Remarks:
6.	When fair and reasonable is utilized, is the fair and reasonable method documented and properly justified?	⊠ Yes	□No	□ N/A	Remarks:
7.	Are purchases split into multiple transactions in order to circumvent transaction purchase limits?	Yes	⊠ No	□ N/A	Remarks:
8.	Does the CHP 317 Cal Card Log fully describe the purchase?	⊠ Yes	□No	□ N/A	Remarks:
9.	Are bank statements reconciled with the CHP 317 Cal Card Log and the receipts/invoices?	⊠ Yes	□No	□ N/A	Remarks:

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STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Cal-Card Program

10. Is the CHP 317 Cal Card Log properly authorized and maintained?	⊠ Yes	□ No	□ N/A	Remarks:
Are credit invoices/receipts for returned items maintained with the bank statement?	⊠ Yes	□No	□ N/A	Remarks:
12. Do non-itemized purchase receipts/invoices document the purchase by listing the commodity, quantity, and unit price of the item(s) purchased on the bank statement.	⊠ Yes	□ No	□ N/A	Remarks:
13. Are Cal Cards maintained in a secure area?	⊠ Yes	□No	□ N/A	Remarks: Personally carried
14. Are Cal Card purchases pre-approved by the commander?	⊠ Yes	□No	□ N/A	Remarks:
15. Have all cardholders received training on the Department's procurement processes?	⊠ Yes	□No	□ N/A	Remarks:
Are item(s) purchased with the Cal Card prohibited by departmental policy?	⊠ Yes	□No	□ N/A	Remarks:

COMMAND INSPECTION PROGRAMEXCEPTIONS DOCUMENT

Command: Clear Lake	Division: Northern	Chapter: 3
Inspected by: Sergeant D. Stark, #12053		Date: 10/18/08

INSTRUCTIONS: This document shall be typed. Check appropriate boxes as necessary, or fill in the blanks as indicated. Enter the chapter number of the inspection in the Chapter Inspection number. Under "Forward to:" enter the next level of command where the document shall be routed to and its due date. This document shall be utilized to document innovative practices, suggestions for statewide improvement, identified deficiencies, corrective action plans, and may be used to appeal findings. A CHP 51 Memorandum may be used if additional space is required.

TYPE OF INSPECTION		Corrective Action Plan Included			
☐ Division Level ☐ Command Level		Appeal Included			
Executive Office Level		Attachments Included			
Follow-up Required:	Forward to:	Commander's Signature:	Date:		
☐ Yes	Due Date:	m.12 / W	10/30/08		
Chapter Inspection: Chapter 3, Command Procurements					
Inspector's Comments Regarding Innovative Practices:					

Area is currently utilizing standard practices.

Command Suggestions for Statewide Improvement:

Regarding Contracts: It was discovered that Area must continuously contact Accounting via telephone to ensure contract invoices have been paid. It would be helpful if Accounting would immediately notify areas via e-mail when contracts are paid.

Regarding Cal-Card Programs: It was discovered that the Office Manager must obtain the Area Commander's approval in order to purchase office supplies necessary for the day-to-day operation of the command. It would expedite the process if the Office Manager could approve such purchases.

Inspector's Findings:

Suggestion regarding Contracts (Item 30): A log sheet is not maintained for a diary of activities related to the contract. Area currently has five (5) contracts in use. While a log may not be practical for every contractor, it would be useful for the Janitorial and Landscape Maintenance service contracts to ensure daily, weekly, and monthly activities are being performed.

COMMAND INSPECTION PROGRAM

EXCEPTIONS DOCUMENT

Page 2

Command: Clear Lake	Division: Northern	Chapter: 3
Inspected by: Sergeant D. Stark, #12053		Date: 10/18/08

COMMANDER CONCURS WITH THE FENDENCES

Inspector's Comments:

Saundra Lumbert, OSS1, was found to be very knowledgeable and capable carrying out her duties as it relates to Command Procurements. No deficiencies were noted.

Required Action:

Corrective Action Plan/Timeline: N/A

FOR SERVICES PERFORMET BY MAINTANDER VENDORS.

COMMAND INSPECTION PROGRAMEXCEPTIONS DOCUMENT

Page 3

Command: Clear Lake	Division: Northern	Chapter: 3
Inspected by: Sergeant	D. Stark, #12053	Date: 10/18/08

Appeal Process: (Appeals shall be filed within five (5) business days of the completed chapter inspection).		
Commander's Basis for Appeal:		
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	lá.	
Appeal Review/Decision: (This shall be the only level of appeal).		
Appear (Ceview/Decision: (This shall be the only level of appear).		
Lead Inspector's Signature:	Date: 10/18/08	
1 Suste		
Responding Commander's Signature (for appeal):	Date:	

RDZP 00006 05/02/08 08.08.57 CHP2 00002 05/02/08 08.08.49

N 085 ALL COMMANDERS 05-02-08 0808 DST

MIS COMM-NET MESSAGE 5-1-08 ALL COMMANDS

SUBJECT: CHANGE IN APPROVAL PROCESS FOR SERVICE/COMMODITY REQUESTS - ACTION REQUIRED .

EFFECTIVE IMMEDIATELY, SERVICE/COMMODITY REQUESTS THAT PREVIOUSLY REQUIRED ASSISTANT COMMISSIONER STAFF (ACS) APPROVAL NOW REQUIRE APPROVAL OF THE APPROPRIATE ASSISTANT COMMISSIONER.

IN ADDITION, ALL SOLE SOURCE/SOLE BRAND REQUESTS NOW REQUIRE DIVISION CHIEF APPROVAL, AND IF NECESSARY, THE APPROPRIATE OFFICE OF PRIMARY INTEREST (OPI) CHIEF APPROVAL. THESE APPROVALS ARE IN ADDITION TO THE REVIEW AND APPROVAL OF THE CHIEF, ADMINISTRATIVE SERVICES DIVISION, THE APPROPRIATE ASSISTANT COMMISSIONER AND THE DEPUTY COMMISSIONER. THIS SAME REVIEW AND APPROVAL PROCESS WILL BE UTILIZED FOR ALL REQUESTS TO DEVIATE FROM OR PROVIDE AN "EXCEPTION" TO EXISTING PROCUREMENT POLICY.

BUSINESS SERVICES SECTION (BSS) PROCUREMENT WILL NOT PROCESS REQUESTS THAT DO NOT HAVE THE NECESSARY APPROVALS AS OUTLINED ABOVE. THESE REQUESTS WILL BE RETURNED TO THE REQUESTING DIVISION FOR THE REQUIRED APPROVALS.

THE CONTENT OF THIS COMM-NET WILL BE INCLUDED IN FUTURE REVISIONS OF THE AFFECTED CHAPTERS IN HPM 11.1, ADMINISTRATIVE PROCEDURES MANUAL, AND HPM 11.2, MATERIALS MANAGEMENT MANUAL.

IF YOU HAVE ANY QUESTIONS, PLEASE CONTACT MS. TERRI ANDERSON, PROCUREMENT MANAGER, AT (916) 375-2109.

CHP HDQTRS/OFFICE OF THE COMMISSIONER

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001.070.Al3647/JC

RDZP 00055 06/20/08 16.15.33 CHP2 00003 06/20/08 16.15.27

N 178 ALL COMMANDERS 06-20-08 1615 DST

MIS COMM-NET MESSAGE 6-20-08 TO: ALL COMMANDS

SUBJECT: PURCHASE REQUISITION NUMBERING

IN ACCORDANCE WITH HPM 11.2, CHAPTER 7, PURCHASES, ALL PURCHASE REQUISITIONS SHALL BE NUMBERED SEQUENTIALLY, STARTING ANEW AT THE BEGINNING OF EACH FISCAL YEAR (E.G., XXXPR8001 AND XXXPR8002).

WHEN THE NEW REQUISITION DELIVERY SYSTEM (REDS) IS DEPLOYED, IT WILL AUTOMATICALLY ASSIGN REQUISITION NUMBERS CONSECUTIVELY FOR EACH COMMAND STARTING WITH "001." BECAUSE THE DEPLOYMENT WILL NOT BE OCCURRING AT THE BEGINNING OF THE FISCAL YEAR, HARD COPY REQUISITIONS (FORM CHP43) WILL BE USED IN THE INTERIM. TO AVOID DUPLICATING REQUISITION NUMBERS, HARD COPY REQUISITIONS SHALL BE NUMBERED SEQUENTIALLY, BEGINNING WITH 500. FOR EXAMPLE, THE FIRST HARD COPY REQUISITION SUBMITTED BY ADMINISTRATIVE SERVICES DIVISION (070) IN 2008-09 WILL BE NUMBERED 070PR8500, THE SECOND, 070PR8501, ETC.

COMMANDS WITH FISCAL YEAR 2008-2009 HARD COPY REQUISITIONS ALREADY SUBMITTED SHALL MAKE THE APPROPRIATE CHANGES IN THEIR FILES AND NOTIFY THEIR ARMS COORDINATOR (IF APPLICABLE) AND PURCHASING SERVICES UNIT OF THE REVISED NUMBER.

THE HPM 11.2, CHAPTER 7, PURCHASES, WILL BE UPDATED TO REFLECT THESE CHANGES. IF YOU HAVE ANY QUESTIONS OR NEED ADDITIONAL INFORMATION REGARDING THIS CHANGE, PLEASE CONTACT GREG BROWN AT 916-375-2732.

CHP HDQTRS/ADMINISTRATIVE SERVICES DIVISION 70.A09263/JC

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STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements
Cal-Card Program

Command: Yreka Area	Division: Northern	Number:
Evaluated by: Sgt. K. Pritchard		Date: 03-30-2009
Assisted by: OSS I Lynn Terry		Date: 03-30-2009

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

TYPE OF INSPECTION Lead Inspector's Signature:				
☐ Division Level ☐ Command Level	©			
☐ Executive Office Level ☐ Voluntary Self-Inspection	tion Kevin Dutcher SGT			
Follow-up Required:	Commander's Signature: Date: 4 (
For applicable policy, refer to: HPM 11.2, Chapter 3				
Are all employees associated with the use of the Cal- Card program completing the CHP 78S, Conflict of Interest Statement, Employee, form?				
Are STD. 21 Drug Free Workplace certifications maintained within the Cal Card command file for each vendor utilized?				
Are STD. 204 Payee Data Record forms maintained in the Cal Card command file for each vendor utilized?				
Are California Integrated Waste Management Board Form 74 documents maintained for each vendor utilized?	☐ Yes ☐ No ☐ N/A Remarks:			
5. If the vendor is a small business or DVBE is utilized, is the certification letter from the Department of General Services maintained in the file?	☐ Yes ☐ No ☑ N/A Remarks: None Noted.			
6. When fair and reasonable is utilized, is the fair and reasonable method documented and properly justified?	☐ Yes ☐ No ☐ N/A Remarks:			
Are purchases split into multiple transactions in order to circumvent transaction purchase limits?	☐ Yes ☑ No ☐ N/A Remarks:			
Does the CHP 317 Cal Card Log fully describe the purchase?				
 Are bank statements reconciled with the CHP 317 Cal Card Log and the receipts/invoices? 				
10. Is the CHP 317 Cal Card Log properly authorized	Remarks:			

CHP 680D (Rev. 09-08) OPI 010

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Cal-Card Program

and maintained?	⊠ Yes	☐ No	∏ N/A	
Are credit invoices/receipts for returned items maintained with the bank statement?	⊠ Yes	□No	□ N/A	Remarks:
12. Do non-itemized purchase receipts/invoices document the purchase by listing the commodity, quantity, and unit price of the item(s) purchased on the bank statement.	☐ Yes	□ No	⊠ N/A	Remarks: All purchases were itemized.
13. Are Cal Cards maintained in a secure area?	Yes	□No	□ N/A	Remarks:
14. Are Cal Card purchases pre-approved by the commander?	⊠ Yes	□No	□ N/A	Remarks:
15. Have all cardholders received training on the Department's procurement processes?	⊠ Yes	□No	□ N/A	Remarks:
16. Are item(s) purchased with the Cal Card prohibited by departmental policy?	☐ Yes	⊠ No	□ N/A	Remarks:

1 of 3

STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Purchases

Command: YRELA	Division: NOFTHERM	Number:
Evaluated by: TED A JUNEAN, 567, 13739		Date: 10-20-2009
Assisted by:		Date:
CYNTHIA SEI	mPRONIU DESI	10-20-2008

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected. TYPE OF INSPECTION Lead Inspector's Signature: Led Swain Command Level Division Level ☐ Executive Office Level ☐ Voluntary Self-Inspection Commander's Signature: Follow-up Required: W 71/08 ☐ Follow-up Inspection No No ☐ Yes TOBE COMPLETED WILL'SE For applicable policy, refer to: HPM 11.2, Chapter 7 1. Are participants in the procurement process at the Remarks: Yes ☐ No □ N/A command level familiar with the related policies and procedures for purchasing? NO FORMAL TRAINING 2. Have Approvers/reviewers of purchases received Remarks: WNO □ N/A Yes procurement training? 3. Are prohibited items procured on CHP 43, Purchases Remarks: MNO □ N/A Yes Requisitions? Supplies for personally – owned equipment Commodities for personal use Confirming order Purchases via the internet 4. Are separate CHP 43s, Purchase Requisitions, Remarks: CAMULETED AS MYes. No □ N/A prepared for commodity items obtainable from RERWILLED BY HPM 11.2, different suppliers or from different statewide Compared 7 commodity contracts? Is all required information entered on the CHP 43, Remarks: M Yes □ No □ N/A Purchase Requisition? 6. Are the CHP 43, Purchase Requisitions, numbered Remarks: Yes □ N/A consecutively, starting anew at the beginning of each ☐ No fiscal year (July 1)? 7. Are expedited requests for the purchase of goods Remarks: M Yes No N/A forwarded to the Assistant Commissioner, Staff, for approval?

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STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Purchases

Do specialized items purchased contain the appropriate Division, and/or OPI approvals?	V Yes	□No	□N/A	Remarks:
9. Are the CHP 43, Purchase Requisitions, competitively bid?	☑ Yes	□No	□N/A	Remarks:
10. Does the CHP 315, Price Comparison Worksheet document at least two price quotations?	Yes	V No	□ N/A	CHP3153 NOT Remarks: Complete. Competative EIE (FAXE) COMPETATIVE EIE (FAXE) COMPETATIVE EIE (FAXE)
11. Are Limited Competitive Bidding purchase reques that limit or restrict the purchase to one specific brand or model justified and in compliance with S/3555?	AM Yes	□ No	□ N/A	Remarks:
12. Are Limited Competitive Bidding purchase reques for items that interface with existing departmental equipment in compliance with SAM 3555.3?	ets Yes	□No	□ N/A	Remarks:
13. Do Non-Competitive Bid (NCB) purchase request contain the NCB justification and NCB Corrective Action Plan documents?		□ No	M N/A	Remarks:
14. Are items checked immediately for content and damage when delivered?	FYes	□No	□ N/A	Remarks:
15. Is the "received copy" of the purchase order approved, dated, and forwarded to the Fiscal Management Section (FMS), Account Payable Unwithin three business days of receipt, if all items a accepted?		□No	□ N/A	Remarks:
16. Are freight and/or packing slips attached to the received copy of the purchase order and sent to FMS?	Yes	□No	□ N/A	Remarks:
17. Is FMS provided a photocopy of the purchase ordered and any approved freight or packing slips as acknowledgement that a portion of the order has been received?	☑ Yes	□ No	□ N/A	Remarks:
18. Is the original "received copy" retained by the command for completion and forwarding to the F when the complete shipment is received?		□No	□ N/A	Remarks:
19. Are <u>Damaged items</u> delivered by common carrie acknowledged on the freight bill by the carrier's obefore being accepted?		□No	☑ N/A	Remarks:

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STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Purchases

20. Is Purchasing Services Unit (PSU) notified immediately by telephone, followed in writing either by a memorandum or e-mail, requesting cancellation of the requisition or deletion of an item, if it is determined that a commodity requested on a CHP 43 is no longer needed and a purchase order has not yet been prepared?	Yes	∏ No	M N/A	Remarks:
21. Are open purchase orders periodically reviewed and investigated to ensure the orders are not opened for an unreasonable length of time. (SAM 8422.0)	Yes	□ No	□ N/A	Remarks:
22. Are copies of the purchase requisitions and purchase orders maintained for three years after payment? (SCM Vol. II, Ch. 11, Topic 4)	₩ Yes	□No	□ N/A	Remarks:
23. Are decisions documented to create a paper trail documenting the basis of the decisions made for the purchase? (SCM Vol II Ch. 2, Topic 11)	√Yes	☐ No	□ N/A	Remarks:
24. Are purchase orders split to evade competitive bidding requirements or to circumvent the Department's delegated purchase authority limits? (Public Contracts Code Section 10329)	Yes	☑ No	□ N/A	Remarks:

STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Cal-Card Program

Command:	Division: NURTHERN	Number:
Evaluated by:		Date:
TED A SI	10-20-2008	
Assisted by:	100	Date:
CINTAIN SO	IREA, BIVINDAPINE	10-20-2008

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

TYPE OF INSPECTION	Lead Inspect	or's Signature	2:	
☐ Division Level ☐ Command Level		,		a with the state of the state o
Executive Office Level Voluntary Self-Inspection		l-del-		to a soft Think and " .
Follow-up Required: Follow-up Inspection	Commander'	s Signature:		Date:
For applicable policy, refer to: HPM 11.2, Chapter 3				
 Are all employees associated with the use of the Cal- Card program completing the CHP 78S, Conflict of Interest Statement, Employee, form? 	Yes	□No	□ N/A	Remarks:
 Are STD. 21 Drug Free Workplace certifications maintained within the Cal Card command file for each vendor utilized? 	☐ Yes	√ No	□ N/A	Remarks: PECEIVETT FERMINE TRAINING, MAGNET DE CERMITE MIENT
Are STD. 204 Payee Data Record forms maintained in the Cal Card command file for each vendor utilized?	☑ Yes	□No	□ N/A	Remarks:
Are California Integrated Waste Management Board Form 74 documents maintained for each vendor utilized?	☐ Yes	M'No	□ N/A	EMPLOYET NEVER REMARKS: RELEVEE THOUSAND, MOT AND MEDERAL REPRIREMENT.
5. If the vendor is a small business or DVBE is utilized, is the certification letter from the Department of General Services maintained in the file?	Yes	□ No	□ N/A	Remarks:
6. When fair and reasonable is utilized, is the fair and reasonable method documented and properly justified?	☐ Yes	□No	☑ N/A	Remarks:
7. Are purchases split into multiple transactions in order to circumvent transaction purchase limits?	Yes	V No	□ N/A	Remarks:
8. Does the CHP 317 Cal Card Log fully describe the purchase?	☑ Yes	□No	□ N/A	Remarks:
Are bank statements reconciled with the CHP 317 Cal Card Log and the receipts/invoices?	▼ Yes	□No	□ N/A	Remarks:

COMMAND INSPECTION PROGRAM

INSPECTION CHECKLIST

Chapter 3, Command Procurements Cal-Card Program

10. Is the CHP 317 Cal Card Log properly authorized and maintained?	Yes	□No	□ N/A	Remarks:
11. Are credit invoices/receipts for returned items maintained with the bank statement?	Yes	□No	□ N/A	Remarks:
12. Do non-itemized purchase receipts/invoices document the purchase by listing the commodity, quantity, and unit price of the item(s) purchased on the bank statement.	▼ Yes	□ No	□ N/A	Remarks:
13. Are Cal Cards maintained in a secure area?	✓ Yes	□ No	□ N/A	Remarks:
14. Are Cal Card purchases pre-approved by the commander?	✓ Yes	□No	□ N/A	Remarks:
15. Have all cardholders received training on the Department's procurement processes?	Yes	☑ No	□ N/A	NO FURMAL TRAMINA Remarks:
16. Are item(s) purchased with the Cal Card prohibited by departmental policy?	☐ Yes	☑ No	□ N/A	Remarks:

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements X-Number Program

Command:	Division:	Number
PREKA	NOCTHERN	
Evaluated by:		Date:
TED A	SMARK SGT, 13235	10-20-2008
Assisted by:	<i>*</i>	Date:
CYNTHIA	SE IMPRONIE, OSET	10-20-2008

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

TYPE OF INSPECTION	Lead Inspector's Signature:			
☐ Division Level ☐ Command Level				
Executive Office Level Voluntary Self-Inspection	Car Inson			
Follow-up Required: Follow-up Inspection Yes No	Commander's Signature: Date:			
For applicable policy, refer to: HPM 11.1, Chapter 23				
Are multiple X Numbers awarded to the same vendor to circumvent the \$4,999 contract limit?	Yes No N/A Remarks:			
Does all X Number file documentation contain the STD. 204 Payee Data Record?	Yes No N/A Remarks:			
 Do X Numbers requiring a contract (i.e., janitorial or landscaping) have prior approval from the Business Services Section commander? 	Yes No N/A Remarks:			
Are X Number requests made prior to the date the services are performed?	Yes No N/A Remarks:			
5. Are X Numbers issued for a one-time use?	✓ Yes □ No □ N/A Remarks:			
6. Are prohibited services performed using an X Number?	☐ Yes ☑ No ☐ N/A Remarks:			
7. Are X Numbers used for the procurement of a service and not the purchase of a commodity?	Yes No N/A Remarks:			
Are X Numbers issued for telecommunications related services pre-approved by Telecommunications Section?	Yes No N/A Remarks:			
9. Do X Numbers used for facilities related services (such as roof repair, electrical) costing over \$1,000 have prior approval from Facilities Section?	Yes No N/A Remarks:			
10. Do X Numbers issued for lapsed contractual agreements have prior approval by the appropriate Assistant Commissioner?	☐ Yes ☐ No ☑ N/A Remarks:			

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STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

COMMAND INSPECTION PROGRAM

INSPECTION CHECKLIST

Chapter 3, Command Procurements X-Number Program

11. Do all X Numbers awarded to a non-small business vendor contain three price quotations?	☑ Yes	□No	□ N/A	Remarks:
12. Do all X Numbers awarded to a small business vendor contain the small business certification from the Department of General Services (DGS)?	✓ Yes	□No	□ N/A	Remarks:
13. Does the file documentation contain the STD. 21 Drug Free workplace certification for X Number vendors?	Yes	□No	□ N/A	Remarks:
14. Do emergency service X Numbers document and justify the emergency?	Yes	☐ No	□ N/A	Remarks:
15. Is the itemized invoice for each X Number service maintained in the command's files?	Yes	☐ No	□ N/A	Remarks:

STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Contracts

Command:	Division:	Number:
YNE	CA NUMTHER	ar l
Evaluated by:		Date:
TEDA	1 Sugar SIT, 1200	9 10-20-2008
Assisted by:	7-7	Date:
CHAV THERE	SECON PROMOTORONO, COSS	I 10-ZP -2008

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

TYPE OF INSPECTION		Lead Inspec	tor's Signature	э:		
☐ Division Level ☐ Comman	nd Level	,	CALL ST	Inc	zir	
☐ Executive Office Level ☐ Voluntary Self-Inspection		= =====================================				
Follow-up Required: Follow	v-up Inspection	Commander	's Signature:			Date:
For applicable policy, refer to: HPM 11.1	, Chapter 22	(
Is a CHP 78 Contract Request used service contracts which are repetitive the estimated dollar value?	to initiate all e, regardless of	☑ Yes	□No	□ N/A	Remarks:	
 Is a CHP 78 Contract Request used services exceeding \$4,999.99? 	for one-time	Yes	□No	□ N/A	Remarks:	
Is the Office of Primary Interest (OPI numbering beginning with the request three-digit location code used, follow contract payable listed on the CHP 7	sting command red by " <u>CP" for</u>	☑ Yes	□No	□ N/A	Remarks:	
Is the performance of contract service and documented?	ces monitored	Yes	□No	□ N/A	Remarks:	
Are all copies of correspondence wit maintained?	th the vendor	√Yes	□No	□ N/A	Remarks:	
Are letters for contracts documented which outline any problems related to non-performance of the vendor?		Yes	☐ No	□ N/A	Remarks:	
7. Is the final product to be delivered d specifically and in as much detail as CHP 78?		Yes	□ No	□ N/A	Remarks:	
8. Are all required levels of approval/si including the required documentation for expedite and emergency contract Chapter 22, before forwarding the C 78A?	n and approvals ets per HPM 11.1,	Yes	∏ No	□ N/A	Remarks:	

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STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Contracts

9. Are requests for contract services less than six months from the anticipated start date of the contract pre-approved by Assistant Commissioner, Staff, for expedited processing?	Yes	□ No	☑ N/A	Remarks:
10. Is all work completed and accepted by the Department before expiration of contract agreement?	√ Yes	□No	□ N/A	Remarks:
11. Are contract services performed according to the quality, quantity, objectives, timeframes, and in the manner specified in the contract (e.g., review progress reports and interim products)?	Yes	☐ No	□ N/A	Remarks:
12. Are invoices for payment reviewed and approved to substantiate expenditures for work performed and to prevent penalties being assessed?	✓ Yes	☐ No	□ N/A	Remarks:
13. Are contract expenditures monitored to ensure there are <u>sufficient funds</u> to pay for all services rendered as required by contract?	Yes	☐ No	□ N/A	Remarks:
14. Does the requestor verify the contractor has fulfilled all requirements of the contract before approving the final invoice?	✓ Yes	□No	□ N/A	Remarks:
15. Is the final invoice identified and approved, as appropriate and forwarded to Fiscal Management Section for payment?	Yes Yes	☐ No	□ N/A	Remarks:
16. Are all applicable form sections of the CHP 78 completed?	☑ Yes	☐ No	□ N/A	Remarks:
17. Do emergency contracts document and justify a sudden, unexpected occurrence that poses a clear and imminent danger, requiring immediate action to mitigate the loss or impairment of life, health, property, or essential public services?	Yes	□No	□ N/A	Remarks:
18. Are all employees associated with the management of a contract completing the CHP 78S, Conflict of Interest Statement, Employee, form?	☑ Yes	□No	□ N/A	Remarks:
19. Are problems concerning the contractor's performance fully documented in writing and made a part of the contract manager's contract file?	✓Yes	□No	□ N/A	Remarks:
20. Are contract amendment request dollar amounts	□Yes	□No	☑ N/A	Remarks:

STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

COMMAND INSPECTION PROGRAM

INSPECTION CHECKLIST

Chapter 3, Command Procurements Contracts

21.	Is the length of the contract amendment request more than one year?	Yes	□No	☑ N/A	Remarks:
22.	Are amendments requested before the expiration of the original contract?	Yes	☐ No	□ N/A	Remarks:
23.	Is a service contract on a CHP 78, Contract Request initiated for any commercial meeting/conference room rental which is expected to exceed \$4,999.99 in total cost?	☐ Yes	[] No	□ N/A	Remarks:
24	Do conference room rental costs exceeding the \$500 per day limit have pre-approval from Assistant Commissioner, Staff?	Yes	[]No	□⁄N/A	Remarks;
25	. Are California Department of Justice (DOJ) and Federal Bureau of Investigation (FBI) fingerprint checks and driver license checks conducted for all of the following types of agreements:	☐ Yes	□ No	₩ N/A	Remarks:
غالمان	 (1) Avionics Maintenance and Repair (2) Helicopter Maintenance and Repair (3) Instructor Services (on-site) (4) Janitorial Services (5) Consulting Services 				
26	Is a driver license check conducted for, but not limited to, all of the following types of agreements, if the contractor and/or specifically assigned personnel are scheduled to be on-site for more than 30 days: (1) Alarm and Fire Alarm Monitoring (2) Camera Maintenance and Repair (3) Carpet Installation (4) Diesel Generator Maintenance and Repair (5) Dishwasher Maintenance and Repair (6) Elevator Maintenance and Repair (7) Fire Extinguisher Service (8) Garage Door Maintenance and Repair (9) Graphit: Arts Equipment Maintenance and Repair (10) Heating, Ventilation, and Air Conditioning Service (11) Laundry/Linen Service (12) Office Machine Maintenance and Repair (13) Painting Services (interior of facility) (14) Plumbing Services (15) Scale Maintenance and Repair (16) Steam Cleaning Services (Carpet, not scales) (17) Telephone Services (cellular, salellite, and regular) (18) Television Equipment Maintenance and Repair (19)Uninterruptible Power Supply Maintenance and Repair	Yes	□ No	□ N/A	Remarks:

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements

Contracts

27. Are all driver license and fingerprint information forwarded to Contract Services Unit (CSU), along with the contract number for retention after Commander review?	▼ Yes	□No	□ N/A	Remarks:
28. Is CSU advised by the command to determine if adverse information discovered is grounds for canceling the contract (i.e., adverse driver license and/or criminal history information is received regarding the contractor or the contractor's personnel)?	Yes	□No	₩ N/A	Remarks:
29. Are all invoices, records, and relevant documentation maintained for three years after the final payment of the contract?	₩ Yes	□No	□ N/A	Remarks:
30. Is a log sheet maintained for a diary of activities related to the contract?	₩ Yes	□No	□ N/A	Remarks:
31. Is a computer file prepared for all contracts administered?	₩ Yes	□No	□ N/A	Remarks:
32. Is a spreadsheet prepared listing all expenditures?	☐ Yes	M No	□ N/A	Remarks GOORF VEE AND FOR WARDED TO FINS
33. Is the notification to the contractor documented for the start date for services to begin?	Yes	□No	□ N/A	Remarks:
34. Is the contractor contacted to determine if all invoices have been received in order to oversee the completion of the contract?	Yes	□No	□ N/A	Remarks:
35. Do consultant services contracts of \$1,000 or more contain detailed performance criteria and a schedule for performance? (SCM Vol. I, Ch. 3, Section 3.02.1)	☐ Yes	☐ No	UNA	Remarks:
36. Does the contract file contain the STD. 4 Contractor Evaluation form for consultant contracts? (SCM Vol. I, Ch. 3, Section 3.02.5)	Yes	□No	IJ-Ñ/A	Remarks:
37. Does Contract work only begin after approval of the final contract? (SCM Vol. 1, Ch. 4, Section 4.09)		□No	□ N/A	Remarks:
38. Are the requirements for Government Code Section 19130 (a) or (b) documented and justified for personal service contracts? (GC 19130 & SCM Vol. I, Ch. 7, Section 7.05)	☑ Yes	□No	□ N/A	Remarks:
39. Are any contract payments made prior to the final approval and execution of the contract? (SCM Vol. I, Ch. 4. Section 4.09)	Yes	V No	□ N/A	Remarks:

From:

Dave Hahn

To:

Ted Swain; Tracy Sturges

Subject:

Chapter 3 Inspection

Reference the contract inspection, items number 23 and 24: The correct answer is N/A since Areas do not rent conference rooms. The "no" answer would indicate a violation of policy. I changed my copy to N/A for questions 23 and 24. Please do the same on your copy. Also, please send a memo within 30 days addressing the follow-up items on the Exceptions Document and item 2 on the Cal-Card inspection. Thanks.

Dave

COMMAND INSPECTION PROGRAM EXCEPTIONS DOCUMENT

Command: Yreka	Division: Northern	Chapter:	V
Inspected by:		Date:	
Ted A. Swain,	Sergeant	10-20-200	3C

INSTRUCTIONS: This document shall be typed. Check appropriate boxes as necessary, or fill in the blanks as indicated. Enter the chapter number of the inspection in the Chapter Inspection number. Under "Forward to:" enter the next level of command where the document shall be routed to and its due date. This document shall be utilized to document innovative practices, suggestions for statewide improvement, identified deficiencies, corrective action plans, and may be used to appeal findings. A CHP 51 Memorandum may be used if additional space is required.

additional space is required.				
TYPE OF INSPECTION		○ Corrective Action Plan Included		
☐ Division Level ☐ Command	Level	Appeal Included		
Executive Office Level		Attachments Included		
Follow-up Required:	Forward to:	Commander's Signature:	Date:	
⊠ Yes □ No	Due Date: 11 or o.g.	Tem Sis	w/3, (00	
Chapter Inspection: Comma	nd Procurements Purcha	ises de vita de la		
Inspector's Comments Rega	rding Innovative Practice	es:		
	5.5: 11111111111111111111111111111111111			
Command Suggestions for Statewide Improvement:				
Command Suggestions for C	statewide imprevement.			

Inspector's Findings:

The inspection revealed employees completing procurement documents have never received formal training regarding procurement/purchasing procedures.

As a result of the lack of training, it was found employees were not completing the required CHP 315s, Comparison Worksheets when soliciting bids. However, the employees were including faxed copies of the bids received.

COMMAND INSPECTION PROGRAM

EXCEPTIONS DOCUMENT

Page 2

Command:	Division:	Chapler:
Yreka	Northern	3
Inspected by:		Date:
Ted A. Swaii	n, Sergeant	10-20-2008

Commander's F	Response:
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Employees have been scheduled for the first available procurement training on November 6, 2008.

Inspector's Comments:

Employees involved in procurement/purchasing process should receive formal training from Fiscal Management Section or their representatives as soon as practical.

Required Action

Corrective Action Plan/Timeline

Procurement training item will be completed on November 6, 2008. Training had been frozen due to budget issues. Cal Card training will be coordinated with SSA Decko at Division for affected personnel.

COMMAND INSPECTION PROGRAM EXCEPTIONS DOCUMENT

Command:	Division:	Chapter:
Yreka	Northern	3
Inspected by:		Date:
Ted A. Swain, Sergeant		10-20-2008

INSTRUCTIONS: This document shall be typed. Check appropriate boxes as necessary, or fill in the blanks as indicated, Enter the chapter number of the inspection in the Chapter Inspection number. Under "Forward to:" enter the next level of command where the document shall be routed to and its due date. This document shall be utilized to document innovative practices, suggestions for statewide improvement, identified deficiencies, corrective action plans, and may be used to appeal findings. A CHP 51 Memorandum may be used if additional space is required.

additional space is required.			
TYPE OF INSPECTION			
☐ Division Level ☒ Command L	Level	Appeal Included	
Executive Office Level		Attachments Included	
Follow-up Required	Forward to:	Commander's Signature:	Date:
Follow-up Required			10 (3, 10 E
⊠ Tes □ NO	Due Date: 11/1 / VE	100 337	VO 1/31/10 E
Chapter Inspection: Commar	nd Procurements Purcha	ises	
Inspector's Comments Rega	rding Innovative Practice	es:	
Command Suggestions for S	Statewide Improvement:	15 15 16 16 16 16 16 16 16 16 16 16 16 16 16	

The inspection revealed employees completing procurement documents have never received formal training regarding procurement/purchasing procedures.

As a result of the lack of training, it was found employees were not completing the required CHP 315s, Comparison Worksheets when soliciting bids. However, the employees were including faxed copies of the bids received.

Inspector's Findings:

COMMAND INSPECTION PROGRAM

EXCEPTIONS DOCUMENT

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Command:	Division:	Chapter;
Yreka	Northern	3
Inspected by:		Date:
Ted A. Swai	n, Sergeant	10-20-2008

Commander's	Kesponse:
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Employees have been scheduled for the first available procurement training on November 6, 2008.

Inspector's Comments:

Employees involved in procurement/purchasing process should receive formal training from Fiscal Management Section or their representatives as soon as practical.

Required Action

Corrective Action Plan/Timeline

Item will be completed on November 6, 2008. Training had been frozen due to budget issues.

Command:	Division:	Chapter:
Yreka	Northern	3
Inspected by:		Date:
Ted A. Swain, Sergeant		10-20-2008

Commander's Basis for Appeal:

COMMAND INSPECTION PROGRAM EXCEPTIONS DOCUMENT

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Command:	Division:	Chapter
Yreka	Northern	3
Inspected by:		Date:
Ted A. Swain, Sergeant		10-20-2008

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Appeal Review/Decision: (This shall be the only level of appeal).	
Appear to view people of the shall be are only to to. 5. 5. 5. 5. 5. 5.	
Lead Inspector's Signature: Lead Inspector's	Date: 10-20-2008
Responding Commander's Signature (for appeal):	Date:
responding Commander's Signature (for appear).	Date

Appeal Process: (Appeals shall be filed within five (5) business days of the completed chapter inspection).